

*'Óglaigh na hÉireann has been the people, is the people and will be the people. Our green uniform does not make us less people. It is a cloak of our service, a curtailer of our weaknesses, an amplifier of our strengths.'*

General Richard Mulcahy.





Óglaigh  
na hÉireann  
DEFENCE FORCES IRELAND

# Defence Forces Leadership Doctrine

Defend | Protect | Support

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## FOREWORD BY

# Vice Admiral Mark Mellett DSM

The White Paper on Defence 2015 articulates the Government's Defence policy for the next decade. The Defence Forces Capstone Doctrine supports the objectives of the White Paper and enables the publication of keystone doctrine which is critical to the effectiveness of our operational tenets of Flexibility, Deployability, Sustainability, Interoperability and Adaptability. This publication is our keystone doctrine on Leadership which establishes the fundamental leadership principles for every soldier, sailor and aircrew of the Defence Forces.

The Defence Forces has a duty and responsibility to express doctrinally the character and competence required to be a leader within our organisation. This doctrinal manual sets out the guiding principles to be pursued by all members of the Defence Forces, in all activities and at all levels common to the organisation. In essence, this leadership doctrine codifies 100 years of experience and learning by Óglaigh na hÉireann, both at home and overseas. I have no doubt that it will be of benefit to the soldiers, sailors and aircrew of the Defence Forces and as our experience continues to grow, the challenge will be to ensure that this living doctrine evolves to meet that challenge.

Defence Forces leaders must set the example, 'walk the walk', teach and mentor and this doctrine provides the guiding principles, concepts and developmental needs to accomplish this important task on which Ireland depends. This doctrine uses the mission command philosophy to express what is required of Defence Forces leaders. The unique Leadership Framework emphasises character and competence to underpin who the leader is, what the leader knows, how the leader behaves and what the leader does. The leadership actions of Influencing, Developing, Evaluating and Achieving are mirrored in our competency framework and thus set out what is expected of our leaders. In this context, it is essential that all Defence Forces leaders be self-aware, agile, adaptable, innovative and multi-skilled, and have strong moral character, broad knowledge and keen intellect.

In leadership there are no right answers – the answer is dependent on you, the men and women of Óglaigh na hÉireann. Leadership requires lifelong study and experiential learning and to practice it requires skill, reflection and imagination. The issues discussed in this doctrine will have already occurred to some leaders while others may confront them in the future. I encourage continuous active reflection and critical thinking, and in doing so you will be well positioned to contribute to further improving the Defence Forces and to remaining ready to serve the State.

Above all else, leadership doctrine requires judgement in application and I am confident that the soldiers, sailors and aircrew of Óglaigh na hÉireann have this in abundance.



M. MELLETT  
VICE ADMIRAL  
CHIEF OF STAFF  
THE DEFENCE FORCES

April 2016

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## ACKNOWLEDGEMENT

This doctrinal manual establishes a Defence Forces Leadership Framework based on the three levels at which leadership doctrine can be applied namely; strategic, operational and tactical.

The framework has considered Defence Forces internal publications on leadership. The military leadership doctrine of Australia, Canada, New Zealand, the United Kingdom and the United States has also been examined and carefully considered. While not specifically referenced within the manual, the significant contribution of such international military leadership doctrine to formally establishing the Defence Forces Leadership Framework is acknowledged.

The influence and contribution of contemporary civilian leadership thinking, theory and styles has also been considered and is acknowledged herein.

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# DEFENCE FORCES LEADERSHIP DOCTRINE

## INTRODUCTION

The primary role of Óglaigh na hÉireann is 'To provide for the military defence of the State, contribute to national and international peace and security and fulfil all other roles assigned by Government'.<sup>1</sup> The professional identity, credibility, conduct and standards of the Defence Forces in carrying out these roles, making the organisation a fundamental institution of the state, are predicated on the quality of leaders. This foundation is based on confident leaders of character and competence with a unique culture underpinned by the **values of respect, loyalty, selflessness, physical courage, moral courage, and integrity**. This principle is aligned to the concept of Mission Command, an organisational leadership philosophy that promotes decentralised command, freedom, speed of action and initiative, responsive to superior direction.

The Defence Forces has continually adapted to emerging political, societal, economic, and technological developments, challenges and threats. As leaders, we are part of a transforming organisation that has been fundamental to maintaining our effectiveness. This Defence Forces Leadership Doctrine (DFLD) supports transformation and is nested within the Capstone Doctrine which states that '**every member, regardless of rank or appointment, is a leader**'. It is similarly nested within the Transformation Agenda under the requirement to transform the strategic and operational management of the force, by 'maximising strategic leadership skills among Senior Officers and NCOs and embedding a deep understanding of the Defence Forces Leadership Philosophy throughout the Defence Forces.'<sup>2</sup>

Transformation includes inculcating a sense of urgency in an organisation in a time of change, the creation and communication of a vision, influencing and empowering towards improving that organisation and its people. If transformation is the key to meeting the challenges ahead, leadership is the key to transformation. Leadership transforms by definition:

*Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.*

## Purpose

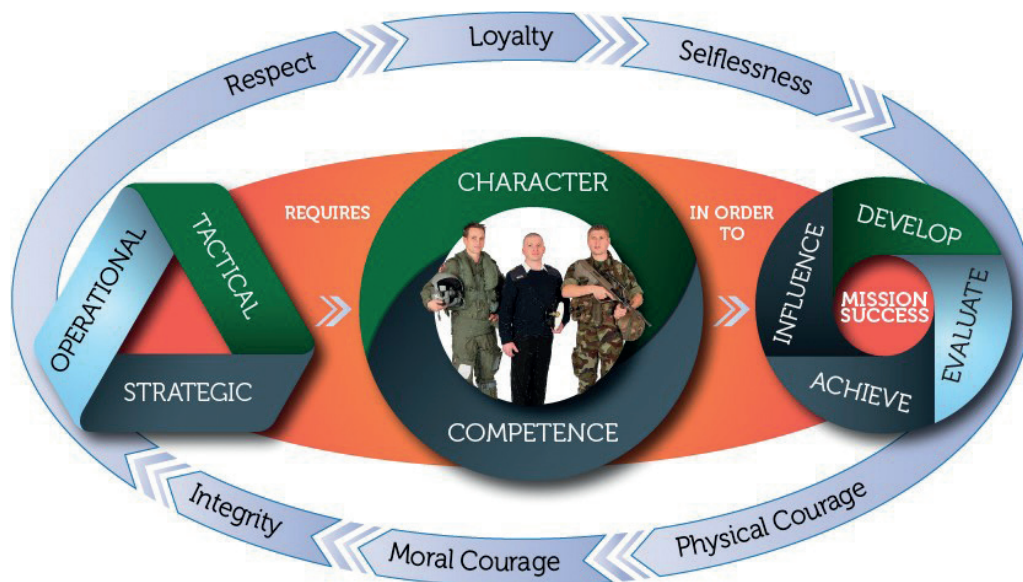
Bringing our mission and roles, organisational values, transformation and leadership together, the purpose of producing this doctrine is twofold:

- To provide a **Comprehensive Leadership Doctrine** and a **Values Based Philosophy centred on Mission Command**, the principles by which Defence Forces Leaders achieve mission success, care for their people and develop the organisation;
- To establish a **Defence Forces Leadership Framework** to guide the development of leaders of character and competence in the Defence Forces.

In producing a **Comprehensive Leadership Doctrine**, the DFLD is a single-source reference for all Army, Air Corps and Naval Service personnel where everyone is a leader and is joint<sup>3</sup> in nature. It is intended for all ranks, officer and enlisted personnel, permanent and reserve. It is not prescriptive and does not presume to tell leaders how they should lead. **Leaders must practice 'Life Long Learning' as part of a Learning Organisation, be true to themselves, be emotionally intelligent and self aware and apply doctrine as appropriate.** As the first keystone leadership

doctrine for the Defence Forces, in providing a unique leadership theory and taking account of the historical and cultural setting of the Defence Forces, it acts as a chronology of leadership and management references and links a suite of instruments, publications and initiatives that the Defence Forces uses to develop and guide leaders including training manuals and human resource management guidelines, charters and reports including the Defence Forces Dignity Charter and The Independent Monitoring Group reports.

This doctrinal manual establishes a **Defence Forces Leadership Framework** incorporating the three (3) leadership levels: **strategic, operational and tactical**. This framework brings together existing leadership concepts by establishing leadership dimensions and showing how they relate to each other as depicted below. Solidly based on character and competence, underpinned by the Defence Forces Values, and the actions required to achieve mission success, this framework provides a single instrument for leader development. It provides a straightforward way to discuss and critically think about leadership and develop emotional intelligence and self-awareness as part of Life Long Learning. Individuals can use the framework for self-development, training establishments can use it to educate and commanders can use it to develop an ethical leadership climate and culture; to focus and develop their organisations and programmes and to mentor and coach subordinates. Chapter 2 expands on this leadership framework.



### Defence Forces Leadership Framework

Specifically the Defence Forces Leadership Doctrine:

- Defines and discusses Defence Forces values
- Outlines three levels of leadership – the tactical, operational and strategic
- Discusses character and values based leadership
- Identifies overarching core competency sets for each level of leadership
- Specifies leadership actions for each level
- Defines the Learning Environment, Life Long Learning, Climate and Culture
- Considers how to develop the organisation and its people.

### Scope

The manual is divided into three (3) parts: Part I (Chapters 1, 2, and 3) discusses leadership aspects common to all Defence Forces leaders. Part II (Chapters 4 and 5) addresses the values, ethics, character and competencies required of leaders at all levels. Part III (Chapters 6, 7, 8 and 9) is more specific and discusses the leadership actions required of leaders at the tactical,

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operational and strategic levels. Chapter 9 outlines some contextual and contemporary issues for leaders including leadership and organisational development. The manual concludes with three (3) Annexes.

**Part I (Chapters 1, 2 and 3).** Chapter 1 sets the context: the history of the Defence Forces, the Contemporary Operating Environment, change and transformation; an overview of leadership styles; and the primacy of leadership and what it means. Chapter 2 outlines the Defence Forces leadership definition and its primary elements in conjunction with establishing the Defence Forces Leadership Framework and a Values Based Leadership Philosophy. The reader is introduced to the Leadership Framework constituents: leadership levels - tactical, operational and strategic; character, values and attributes i.e. **who the leader is**; competencies, skills and behaviours i.e. **what the leader knows and how the leader behaves**; and leadership actions, Influencing, Developing, Evaluating and Achieving i.e. **what the leader does**. Chapter 3 is about understanding the foundations of leadership; it discusses command, authority, power, leadership and management, and outlines the Defence Forces Leadership Philosophy of Mission Command. The Chapter concludes with the leadership roles of Officers, NCOs and of Soldiers, Sailors and Aircrew.

**Part II (Chapters 4 and 5).** The Defence Forces values are threaded throughout our leadership doctrine. Chapter 4 defines these values and reflects upon the importance of organisational ethos, culture and climate, and being an ethical leader. Defence Force leaders continuously refine values and build character as part of becoming a competent leader. Hence, other fundamental leadership and organisational concepts including ethos, culture and climate, ethical leadership, the Learning Organisation and Lifelong Learning are introduced here. Our leadership framework is centred on leaders of 'Character and Competence' at all levels. Chapter 5 expands these elements of the framework. These chapters focus on the intellectual capacity that all Defence Forces Leaders can bring to bear in order to reach their full professional potential on a career path that begins at the tactical level.

**Part III (Chapters 6, 7, 8 and 9).** Leadership succeeds when the leader effectively acts and applies character and the core competencies in mission success. **The four leader actions in our Leadership Framework are Influencing, Developing, Evaluating and Achieving ('IDEA')**. Chapter 6 develops these actions to examine the leadership challenges facing leaders at the tactical or direct and face-to-face leadership level. Chapters 7 and 8 introduce the tactical leader to the concerns faced by leaders and staffs operating at the operational and strategic levels. As Defence Forces leaders mature and assume greater responsibilities in a joint Defence Forces and combined<sup>4</sup> (multinational) organisations, they must learn new skills and develop new abilities to act to set the vision for and run these diverse and multicultural organisations, manage change and lead in more complex environments. Chapter 9, the concluding chapter, examines contextual factors relevant to all leadership levels. These include: followership, culture and barriers to cultural alignment, including groupthink, conformity, and dysfunctional leadership behaviours. This chapter concludes with some very important contemporary issues including gender and leadership, diversity and equality, levels of stress and risk, innovation and leadership adaptability and development sources including mentoring, coaching and the need for reflection.

## **Annexes**

Annex A: Leadership Theory Overview and Development.

Annex B: Leadership Considerations for Overseas Deployment.

Annex C: The Leadership Principles of Lt Gen Dermot Earley DSM.

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# DEFENCE FORCES ASPIRATIONS, CONTEXT AND LEADERSHIP

*Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.*

## Introduction

This first chapter sets the scene for the remainder of this document by stressing the influences that have shaped the approach to developing this Defence Forces Leadership Doctrine (DFLD). It considers the aspirations, history and context, the Contemporary Operating Environment of the Defence Forces and highlights the primacy of leadership enabled by educated, open and inquisitive minds. It is important at the very beginning to recognise that this doctrine is nested within the Capstone Doctrine, which states that **every member of the Defence Forces, regardless of rank or appointment, is a Leader.**

## Defence Forces Tenets – A Leadership Perspective

Ireland has social, political, economic and cultural values and interests that define us as a nation and that we wish to promote and secure. Ireland also has a world view, and engages proactively in addressing the collective global challenges of preserving peace and security and defending human rights.<sup>5</sup>

The primary role of Óglaigh na hÉireann is to provide for the Defence of the State, its people and resources, against armed aggression. The Defence Forces also provides “defence inputs to international peace and security”.<sup>6</sup> This requires the Defence Forces to maintain a range of capabilities with the flexibility, adaptability, deployability, sustainability and interoperability to meet a variety of threats. For example, deployability involves adopting an expeditionary rather than a garrison mindset in order to be capable of acting and reacting to emerging and actual threats.

*How one establishes good leadership can be found in manuals, doctrine, archives, but it is more readily available in literature that transports the reader to the time and place of decision (Gole: 1999:134).*

The states of individual and unit operational readiness, capability and deployability are the keys to effective operations across the spectrum of conflict. The professional identity and credibility of the Defence Forces has been and continues to be built on the quality of its leaders. This foundation is based on leaders of character and competence, with a unique culture underpinned by the values of respect, loyalty, selflessness, physical courage, moral courage, and integrity. The Defence Forces through this professional identity and credibility maintains a proud tradition of service, are very active and highly visible. This visibility inevitably leads to a degree of vulnerability in an age of instant messaging and the widespread use of social media. Demanding the highest possible standard of behaviour of our personnel is not only the right thing to do, it is central to our credibility. This involves an enduring commitment to maintaining high standards of behaviour in line with our history and tradition and compliance with Civil Law, Military Law, and the Laws of Armed Conflict.

The DFLD provides a leadership framework that takes account of the historical and environmental setting of the Defence Forces. It is intended for all ranks, permanent and reserve. **Leadership is a core capability and competent leaders must practice ‘Life Long Learning’,** develop an interest in their past, present and future, be authentic, be emotionally intelligent, and apply this doctrine as appropriate.



## History and Context

The Defence Forces - Óglaigh na hÉireann's history begins with the Irish volunteers in 1913. The Irish Volunteer movement provided the basis for the military force that declared an Irish Republic at the GPO on Easter Monday 1916. The Easter Rising and War of Independence led to the creation of the Irish Free State and a professional Army along conventional lines, and an Irish Army Air Service in 1922. These forces subsequently evolved into the Defence Forces. During the 'Emergency' period of World War II a force of 50,000 personnel was tasked with defending Ireland against invasion. Following the return of the ports and the establishment of our maritime jurisdiction in 1938, the 'Emergency' saw the establishment of the Marine and Coast-watching Service, which evolved into the Naval Service in 1946. Post-war strength reductions saw the Defence Forces focused on internal security.

In 1960, the decision of government to respond to a United Nations request to provide troops for operations in the Congo had a dramatic effect on the Defence Forces. Once deployed, the Army found itself conducting conventional and non-conventional operations. These included defensive (the defence of Jadotville by A Coy, 35 Inf Bn in Sep 1961) and offensive actions (36 Inf Bn's attack at Elizabethville in Dec 1961, known as the 'Battle of the Tunnel'), while concurrently dealing with rebellion, internal security, local militias, mercenaries and inter-tribal violence. Our Peace Support Operations experiences have evolved since then, transitioning from static Peace Keeping Operations to more robust peace operations, in more complex environments.

At the same time, the domestic security situation deteriorated with the 'Troubles' in Northern Ireland and the Aid To the Civil Power role expanded. The Good Friday Agreement of 1998 has delivered 'a stable peace process that commands overwhelming cross-community support'<sup>7</sup> in Ireland and has led to a reduction in commitments. The return of Treaty Ports and maritime sovereignty to Ireland in 1938 saw the commencement of Ireland's enforcement of a 200 mile Economic Exclusion Zone from 1977 leading to Ireland's claim over its 600 mile continental shelf in 2008. The Air Corps and Naval Service in particular play significant roles in this domain.

Defence Forces domestic and overseas operations complement each other. The service model adhered to by the Defence Forces is unique, based on the premise that we are capable and willing to perform any task assigned by Government. This has been reflected in a greater engagement with EU and NATO / PfP operations in this millennium. There is no other institution with such multi-purpose, multi-disciplined capabilities. The successful execution of tasks throughout the history of the Defence Forces, in all three environments, has been driven primarily by the strong, informed, innovative leadership nurtured within the organisation.

### Historical Vignette 1 Training Delegation USA



*The Defence Forces undertook a Military Mission to the United States in 1926 / 27 to examine how other armed forces operated. On return, their report emphasised that the Defence Forces must be organised within means and capabilities and adopt the characteristics of the people it represents. They contended that "we must have our own doctrine and when we have it we should then proceed to inculcate that Doctrine into our personnel and prepare them for the task of carrying it into effect".*

**Contemporary Context:** In June 2008 in Daguessa in Eastern Chad, near the Sudanese border, an Irish army patrol enters the village. Because of the presence of these troops, UN mandated under the European Flag, humanitarian agencies can work and the nearby Internally Displaced People camps remain safe from the marauding 'rebels' from Darfur. On a stormy night in November 2008, Naval Service RHIBs approach the yacht 'Dances With Waves', 175 nautical miles off the Irish coast. Armed naval teams board the yacht, monitored by the naval vessels L.E. Niamh and L.E. Róisín. The boarding is the culmination of 'Operation Seabight', and results in the seizure of cocaine with a value of €500 million. On another stormy evening in Christmas Week 2010, an Air Corps AW139 helicopter departs Cork with a seriously injured 16 year old patient. Flying through 'whiteout' the crew braves the conditions and delivers the patient to Dublin. These are three of the tens of thousands of missions carried out by Óglaigh na hÉireann, made possible by generations of volunteer soldiers, sailors, and aircrew, since the foundation of the State.

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## The Contemporary Operating Environment

Today, our environment is uncertain and the nature of conflict will continue to evolve and present new challenges.<sup>8</sup> State and non-state actors are likely to combine conventional and high-end asymmetric methods concurrently across land, sea, air, space, cyberspace and information/propaganda operations, commonly characterised as hybrid warfare. Conflict is likely to involve a range of transnational, state, group and individual participants. They will operate at global, regional and local levels both collectively and individually to create threats including conventional, non-conventional, terrorism, destabilisation, insurgency, cyber warfare and organised crime.<sup>9</sup>

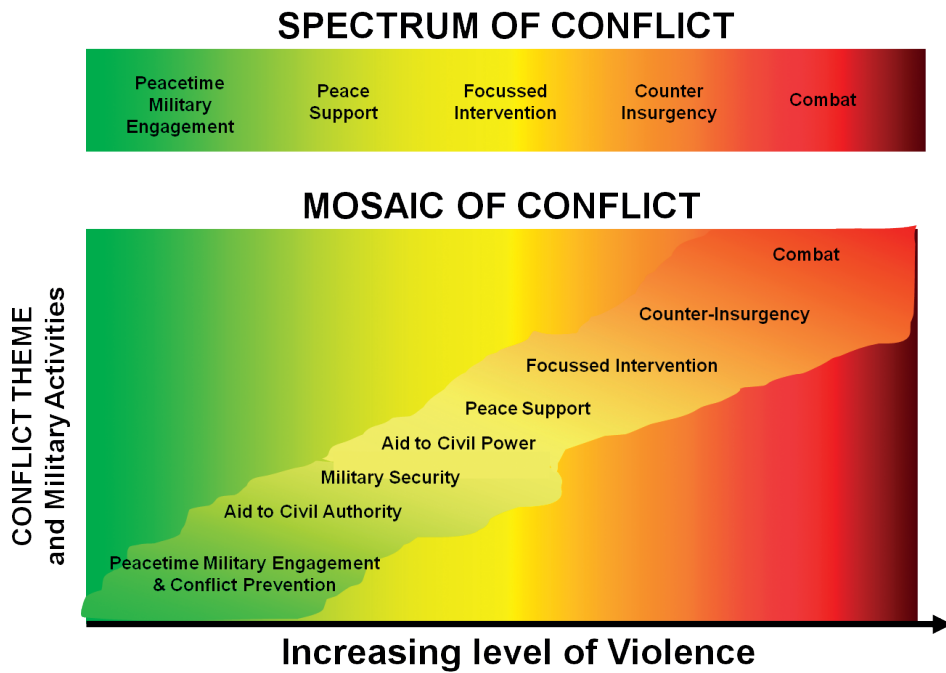
In recent years, many countries have developed consolidated national security strategies accepting that, due to increased interdependence and globalization, the national security of individual states is intertwined with regional and global security.<sup>10</sup> This broader concept of national security also now encompasses certain threats such as natural disasters, cyber security and pandemics. Within this broader concept, threats to a state's economy, such as the financial crisis, may also be considered matters of national security.<sup>11</sup>

It is clear that Ireland and its EU partners face security threats that are “more diverse, less visible and less predictable”.<sup>12</sup> Ireland has always engaged actively, through the EU, UN and other international bodies in crisis management and in tackling the root causes of instability. UN and UN-mandated missions, including military missions, are among the instruments used by the international community in the collective security response. Active engagement by Ireland in this collective response can on occasion lead to an increase in the threat to Ireland directly or by association, without however, significantly altering the general security environment that Ireland faces.<sup>13</sup> Defence Forces leaders must reflect upon and operate within this environment; **an Operating Environment which is complex, congested, cluttered, contested and connected and one which will continuously challenge leaders.**

## The Spectrum of Conflict

Within this contemporary operating environment, Ireland's security, defence and foreign policy objectives are concerned with a broad range of matters in three distinct but merging contexts – peace, conflict and war. Modern operations are rarely conducted against structured forces with a defined hierarchy and system; they are mostly undertaken against more diverse and disparate adversaries in varying circumstances and conditions. The consequent fusing of the operational environment is challenging but does not negate the necessity to understand the fundamental nature and character of conflict. This enables the development of capabilities and doctrines required for the planning and conduct of a broad range of military operations. This nature or range of activity is referred to as the spectrum of military operations (Figure 1.1).

The focus of campaign planning in modern operations has shifted from the destruction of a belligerent force to winning the support of the people. On the ground this ‘war among the people’ places a premium on small unit operations and interaction with the population. Success depends on resolving the political issues at the heart of any conflict, winning the ‘hearts and minds’ and putting the structures in place for a long-term resolution to a conflict. Defence Forces leaders must be cognisant of the wider defence, economic and geopolitical context and understand peoples of different national groups, ethnicity and cultures to identify the causes of friction where units are deployed. They must understand the comprehensive approach to problem solving involving regional and government departments, Non Governmental Organisations (NGOs), the media and civil representatives along with military partners. **Leaders are required at any one time to be soldiers, diplomats and scholars.** This human dimension of conflict is decisive in operations placing greater emphasis on effective leadership.



**Figure 1.1 Spectrum of Military Operations**

This is so at a time when the world is transforming in a fundamental way. The full effects of the digital revolution on humans are unknown. The pessimistic suggest that the World Wide Web has created a 'hive' mentality that emphasises the crowd over the individual, where the practice of fragmentary, impersonal communications has demeaned interpersonal interaction. Others suggest that the Web is taking us from the depths of thought to the shallows of distraction. "There is a reduced expectation of what a person can be, within a 'collectivism' that suffocates authentic voices in a muddled and anonymous tide of mediocrity".<sup>14</sup>

Advances in technology continue to present both **opportunities and threats**. Societies have become increasingly reliant on such technologies and this increased reliance has created a potential vulnerability that can be exploited by those who have the means and knowledge to do so. Cyber crime and cyber attacks, both nationally and internationally, have heightened awareness of these vulnerabilities.

Defence Forces leaders must be conscious of the pace of technological change and the consequential vulnerabilities that others may seek to exploit. Leaders must be aware of how people and organisations interact and think and must continuously leverage these developments in technology to achieve mission success. Defence Forces leaders must recognise that the Contemporary Operating Environment and its Spectrum of Conflict is complex and dynamic. This requires alert, reflexive leaders capable of influencing subordinates, peers and actors beyond the chain of command both at home and abroad for the successful execution of military operations.

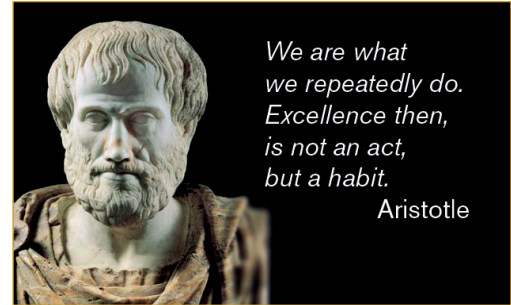
### Insights on Leadership

The idea of developing leadership stems from antiquity. Many leaders were destined by birth for leadership and were prepared for it. For example the education and development of Alexander the Great was entrusted to Aristotle. Leadership theory has developed through time and experience and many images of leadership are military images. It is the stuff of generals who outwit opponents, politicians who convince and channel groups into action and individuals who control a crisis. Leadership is central to survival and success. Leaders are able to think and act creatively and influence positively the actions, beliefs and feelings of others. Being a 'leader' is personal; it flows from an individual's character, competence and actions.



## Leadership - What does it mean?

There are a myriad of understandings for what leadership is and no single prescribed style for guaranteed success in leading. While good leadership tends to be easily recognised in action, it is more difficult to define exactly what it is that distinguishes effective leadership. There are many myths surrounding leadership; leaders are born not made; leaders must be charismatic, have unblemished lives or leadership is management by another word. Experiences contradict these generalisations and it may



be that **leaders are born and made; leaders do the right things; and leaders manage and managers lead.** Military leadership is the core of anything undertaken by groups in concert and is distinct to leadership in other professions. There have been five generations of theory (Figure 1.2) in leadership literature, over the last 80 years or so. None of these generations are mutually exclusive or totally time bound. These theories are expanded in Annex A.

## Leadership Styles

Many of these theories have considered leadership styles, with the behavioural theorists arguing that it is what a leader does that is important, not just what traits are possessed. Early theories identified the leadership styles of autocratic, democratic and laissez-faire. Later theories used different terms to describe the same styles, with directive and participative styles being more recently discussed. While this leadership doctrine describes how to interact with subordinates and how to improve leadership skills, **leaders must always be themselves; anything else comes across as fake, bluff and insincere.** Effective leaders adjust their leadership style and techniques to the situation and the people they lead. Using different leadership styles in different situations or elements of different styles in the same situation is not inconsistent. A leader who can use only one style will be inflexible and will have difficulty in situations where that style doesn't fit.



Figure 1.2 Five Generations of Theory

The leader, who relies exclusively on the directive style, rather than combining it with the participative style, evokes only short-term commitment from their subordinates and discourages teamwork, risk taking and innovation. The same argument applies for the transactional and transformational styles. **In leadership there are no 'right' answers – the answer is dependent on you (understanding yourself and others and how you behave) as well as your situation, your style, and the culture and context in which you are operating.** Annex A can be referenced for further styles.

### The Primacy of Leadership

The past and present environments and experiences help to identify what is needed from Defence Forces leaders today. Leaders must be able to champion a relevant, usable and adaptable force, identify opportunities, innovate and contingency plan. This emphasis and these experiences underpin our personnel as our greatest asset and illustrates the primacy of Leadership. **In preparing its leaders the Defence Forces must therefore train for the known and educate for the unknown.** This in turn emphasises the requirement for fostering critical thinking educated leaders with open, enquiring minds, knowledgeable in military history, state affairs, contemporary security, the prevailing spectrum of operations and the Contemporary Operating Environment. **In the digital age, the smart leader takes initiatives to foster collaboration and enable shared thinking and learning to innovate better in a technology rich world.**

Leadership is the most essential element of combat power. Combat power is seen as a combination of manoeuvre, firepower and protection underpinned by effective leadership. Leadership is the moral component of military capability. Military capability provides for the delivery of Combat Power. Military capability is achieved by means of a Capability Development Planning Process, designed to bring incremental improvements under Doctrine, Organisation, Training, Materiel, **Leadership**, Personnel, Facilities and Infrastructure (DOTMLPFI). The application of capability is competitive and for any scenario belligerents will seek to diminish the capabilities of their adversary (including their leadership) while safeguarding their own.

#### Historical Vignette 2 Michael Collins

The one thing he could not tolerate was failure, though good reason was given for failure. Harry Boland argued that circumstances often ruled the success or failure of a particular job. 'Not at all', replied Collins; 'More often than not it is the slipshod handling of the job which brings about the failure'. He never dealt in theory. He took the standpoint of a practical man whenever plans were submitted for approval. Being acutely aware of the possibilities attached to situations, this instinct allowed for a thorough, but quick and accurate assessment; and decisions were a matter of second nature to him.  
*Michael Collins, The Big Fella, Rex Taylor (1958)*



### Conclusion

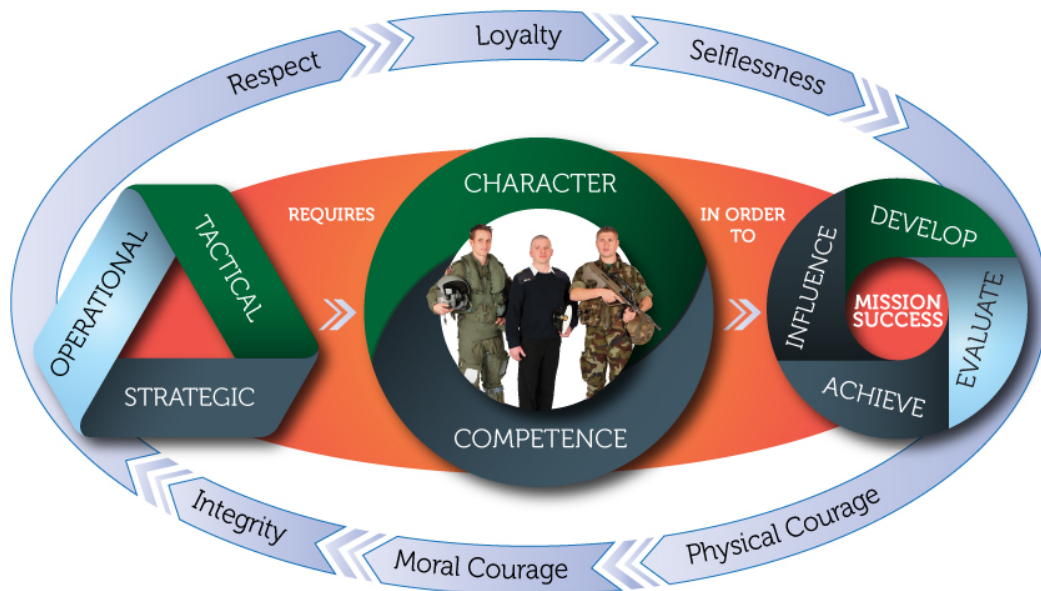
This chapter introduced the context within which this Leadership Doctrine has been developed and identified key influences on the doctrine. The chapter has emphasised the foundation of the DFLD based on leaders of character and competence, within a unique culture underpinned by the **values of respect, loyalty, selflessness, physical courage, moral courage, and integrity.** Chapter 2 introduces the framework established specifically for this DFLD and sets the leadership doctrinal foundations for all leaders of the Defence Forces.

# THE DEFENCE FORCES LEADERSHIP FRAMEWORK

Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.

## Introduction

Leaders in the Defence Forces are entrusted with great responsibility. A Comprehensive Leadership Framework has been established to provide a structure for Defence Forces leadership doctrine and shape our leadership concepts. This framework, depicted in Figure 2.1 is a **Values Based Leadership Doctrine centred on a Mission Command philosophy and details the principles by which leaders care for their people, develop the organisation and achieve mission success**. This chapter explains the levels of leadership and formally introduces the Defence Forces leadership definition.



**Figure 2.1 Defence Forces Leadership Framework**

The framework can be interpreted from left to right by understanding that leaders at the strategic, operational and tactical levels, who embrace the organisation's values, depicted on the outer perimeter, require character and competence in order to Influence, Develop and Evaluate their personnel, units and the Defence Forces, towards Achieving mission success (**IDEA**). The framework and leadership process are not sequential and it is understood that certain elements of character and competence may be utilised by individual leaders at a specific organisational level to accomplish mission success in a specific situation, but may be used to a lesser or greater degree or not employed at all in another level or situation.

## Organisational Values

The Defence Forces organisational values are the constants that underpin values based leadership. The unique context and characteristics of any military force necessitate specific values; in our case **respect, loyalty, selflessness, physical courage, moral courage and integrity**. Values based leadership means that leaders are guided in their decisions and actions by the established institutional values. These values provide a common standard ensuring that with leadership of

character and competence, the Defence Forces can realise its vision and goals, thereby meeting the expectations of the State and its citizens. Chapter 4 develops the Defence Forces values further.

### Levels of Leadership

The Defence Forces recognises three levels where leadership doctrine applies: the Strategic, Operational and Tactical. In the military context these are known as the levels of military operations. In management theory these are the direct, organisational and strategic levels. With leaders ranging across all ranks, we study how leadership differs across these levels. Each level is distinguished by particular objectives and means of operation and the notions of scale, time and effect are hugely relevant. A clear recognition that leaders interact within and between these levels highlights the applicability of competencies from tactical through operational to strategic. The Defence Forces Capstone Doctrine, Chapter 3 elaborates further on the levels of military operations.

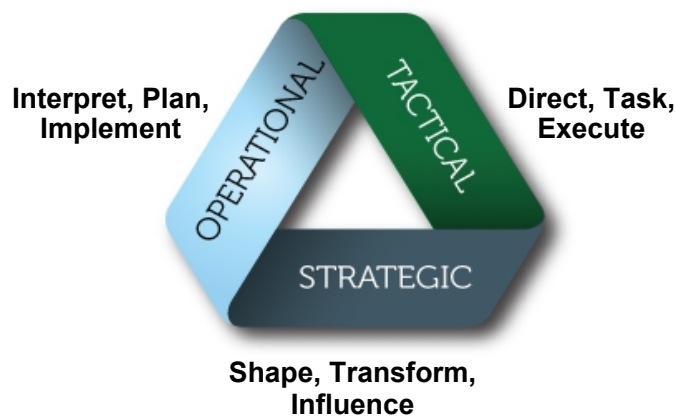


Figure 2.2 Levels of Leadership

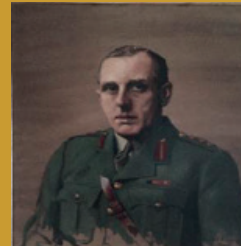
### Strategic Leadership

Strategic leadership requires a broad perspective overseeing the development of enablers for success at the tactical and operational levels. Strategic leaders are responsible for organisations and influence a wide spectrum of people. The strategy pursued at this level is designed to realise the policy laid down in pursuit of national interests. Challenges include the recognition of the geopolitical situation, the sensitive application of political guidance and the cultivation of relationships and influence with internal and external audiences. Strategic decisions take into account Government and Defence policies, other Government departments, budgets, technology, research and development and inter-service cooperation. The focus is the Defence Forces, its development, risk, operational readiness and capabilities.

Strategic leaders shape the organisation by determining force structure, allocating resources, communicating vision and preparing for future roles. The transformation roadmap is determined at this level and is informed by the White Paper and Strategy Statements. Strategic leaders work in an uncertain environment on complex problems affected by external events and organisations. Procurement and recruitment are influenced by the state's finances. While strategic leaders apply competencies mastered at lower levels; they require other multifaceted competencies in processing information, assessing alternatives, making decisions and generating support. Their decisions affect more people and have wider consequences in space and time. Strategic leaders often do not see their

#### HISTORICAL VIGNETTE 3

Lt Gen Daniel McKenna,  
COS 1940 – 1948



- Built force to enable neutrality
- 1940: 7,000 troops, de facto no air or navy element, Estimates cut.
- Threats of British occupation and German invasion
- Biggest challenge: recruitment
- DF 1942: 2 Divisions; 44,000
- A giant of Irish history?



initiatives or decisions come to fruition during their watch and because strategic leaders have few opportunities to interact with lower levels, the sense of when and where to do this is key. Leadership at the strategic level of the Defence Forces is headed by the General Staff. Chapter 8 examines in greater depth strategic leadership in the context of the Defence Forces.

### **Operational Leadership**

Operational leadership drives the organisation, linking the strategic and tactical, ensuring the implementation of strategy and that objectives are met. Leaders at the operational level influence several hundred to several thousand people. This level executes the planning, application and achievement of strategy at the operational and tactical levels. It is also an additional conduit between the strategic and external influences on the organisation. The challenges are to ensure that strategic policy is effected and considerate of political influences. Operational leadership is inherently joint and in the overseas context combined. The branches at DFHQ, Formation and Service commanders practice leadership at this level, directing and implementing strategies on Human Resource Management, Intelligence, Operations, Training, Logistics and Communication and Information Systems, fostering a climate that supports organisational development and inspiring innovation in order to maximise shaping and relevance.

Operational leadership competencies differ from tactical leadership competencies in degree but not in kind. As at the strategic level, leadership here is effected indirectly through more levels of subordinates than at the tactical level. Leaders influence people through strategy interpretation and systems integration more than through face-to-face contact. Operational leaders focus on medium term planning. Direct and regular interaction with lower levels ensures that operational level leaders have an appreciation of the realities of decision implementation. They must compare the reports their staffs give them with the conditions their people on the ground face. Operational leaders use visits to assess how well the Commander's mission and intent are understood and to reinforce priorities. Subordinate development is essential.

*[Fraser said of Field Marshall William SLIM] that he had a force that came out of him, a strength of personality that I have puzzled over since. He had the head of a general with the heart of a private soldier. When it was over and he spoke of what his army had done, it was always 'you', not even 'we', and never 'I'. (Gole: 1999:138).*

### **Tactical Leadership**

Leadership at the tactical level sees the direct application of leadership to achieve defined tasks in realising operational level objectives. Tactical leadership is face-to-face, first line leadership. Moreover, although today's conflicts are supposedly characterised " by icons, feeling neither fear nor discomfort, zapping other icons, where reality becomes blips on screens",<sup>15</sup> this imagery does not hide the brutal fact that decisive operations still pits human against human. The tactical leader's span of influence ranges from a handful to hundreds where subordinates see their leaders: APC crews, sections,



battalions, batteries, squadrons, air and ship crews, barracks, messes and Formation and Service Headquarters. The challenge is to execute and achieve specific tasks by directly guiding the individual, sub unit or unit. The commander guides the organisation through subordinate officers and NCOs. The tactical leader seeks to increase certainty and minimise complexity. They develop subordinates through direct contact and are close enough to see, very quickly, how things work, how things don't work, and how to address problems. The leader has a direct responsibility for unit culture and climate, cohesion and the well being of the individual.

## Character and Competence

Character is essentially **who the leader is**; the personal values and attributes of a leader that are inherent in the self. Character defines each individual. Personal and social values are the bedrock of character and a leader's values must align with the organisational values. Leadership begins with who the leader is: the values that shape character and the attributes, the internal qualities possessed by the leader.

Competence is reflected in the skills and behaviours exhibited by the leader: **what the leader knows and how the leader behaves**. The combination and emphasis of these competencies may change depending on what level you are at but are still necessary for effective leadership. Chapter 5 looks at character and competence in greater detail.

Bringing who the leader is and what the leader knows and how the leader behaves together determines the leadership actions, **what the leader does** in influencing, developing, evaluating the organisation and achieving the mission (IDEA).

## Leadership Defined

A leaders' behaviour and actions must reflect the Defence Forces definition of Leadership:

*Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.*

There are four essential actions or outcomes in **what the leader does** in the leadership process: Influencing, Developing, Evaluating and Achieving (IDEA).

## Influencing

**The capacity to influence is the essence of leadership.** Leaders must recognise their ability to have and cause effect within their sphere of influence. Influencing is about shaping the internal and external environment in your favour, communicating effectively with audience(s), emphasising a collective sense of mission, and ensuring the relevance and success of the organisation.

There is more to influencing than giving orders. The example the leader sets is as important as the words they speak. They set an example, good or bad, with every action they take and word they say, on or off duty. Tactical leaders influence subordinates face-to-face when they communicate instructions, encourage hard work and recognise achievement. Operational and strategic leaders also influence face-to-face but primarily influence indirectly. Sub unit commanders know what their Formation or Service commander want, not because the Commander has briefed each one personally, but because his intent is passed through the chain of command.

**Communicate your 'Leader Philosophy'.** Communicating involves displaying oral, written and listening skills in providing purpose, direction, and motivation.



- **Purpose.** Purpose is the why of the mission statement and the reason for achievement; a rationale to do things. Subordinates must know that the leader would not ask them to do something dangerous without reason. **Trust is a bond of leadership developed over time.** The purpose and reason for doing something should be explained to personnel when appropriate. Orders should signal that a commander cares about what happens and about what a subordinate thinks.
- **Direction.** When providing direction, communicate the way the mission is to be achieved, prioritise tasks, assign responsibility, delegate authority and make sure people understand the requirement. Think the job through in order to focus effort and resources at the right targets at the right time. People want direction, the right training and the resources necessary to do their job.
- **Motivation.** Motivation gives subordinates the will to accomplish a mission and act with initiative. Motivation involves giving personnel challenging tasks, knowing their capabilities and knowing how far to push. Personnel should be praised when they succeed and coached to do better when they fall short. People trained this way will achieve when no one is watching. The best leaders motivate by presence, by walking about, acquiring situational awareness and leading from the front.

Communicate Your Leader Philosophy  
(What is Important to you)

- Values
- Managing Priorities
- Managing Change and Expectations
- Managing the Development of Subordinates
- Managing how Subordinates will communicate with you
- Your Method of Operation

## Developing

The end state for transformation is to develop and maintain a Defence Forces that is Flexible, Deployable, Sustainable, Interoperable and Adaptable, capable of deploying and sustaining high quality military forces on demanding national and overseas expeditionary operations in support of Government security and foreign policy objectives.<sup>16</sup> Transformation requires that leaders develop the organisation and develop capabilities to continually demonstrate relevance, adaptability and value. Keeping current and preparing for the future are enduring challenges. Strategic and operational leaders focus their efforts on medium to long term goals while continuing to meet day-to-day requirements that may or may not contribute to achieving those goals. Many leaders are tempted to focus exclusively on short term gain. The consequences of short sighted priorities may not appear immediately but they will appear. Tomorrow's leaders must live with problems others don't fix today. Loyalty demands that the long term affects of all actions are considered and the greater the responsibility the greater this need. Effective leaders strive to leave units better than they found them.

**Developing the Team.** The professionalism of our personnel is essential in meeting future uncertainties. Their experience, education and training, supported by doctrine, provide the basis for success. Military service places an onus on leaders to facilitate subordinate and team development. Encompassing the needs of the individual, delegation, trust and empowerment and the development of others is fundamental to **Mission Command** and the dissemination of leadership in the organisation. This philosophy seeks to exploit the talents, capabilities and potential of all personnel. Team building involves spending time and resources improving units and fostering an ethical climate. Operational Readiness is an indicator of capability and improvement. An important aspect of developing the team and individuals in the team is a leader's capacity to mentor and coach as appropriate both of which are different but neither of which are adverse actions. Coaching and mentoring are skills used to improve the performance of subordinates and develop and prepare them for the future.



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**Mentoring:** “Mentoring is a relationship based on sharing of experience. It is developmentally centred and it is person rather than process focused.”<sup>17</sup>

**Coaching:** “Is a process that enables learning and development to occur and thus performance to improve.”<sup>18</sup>

Both of these actions are more powerful than any lecture on leadership. Team development and effectiveness are considered in greater detail in Chapters 6 and 9 of this doctrine.

**Self-Development.** Self-development, generally involves an understanding between the commander and subordinate which is used to enhance previously acquired skills, knowledge and experience. Its goal is to increase the readiness, the potential for greater responsibility and the leaders overall contribution to the development of the team. Self-development focuses on aspects of character and competency. Use the Leadership Framework to determine areas to improve. Self-development for junior leaders is narrow in focus, but broadens as an individual becomes more self aware, determines their own needs and becomes more independent. A leader must also focus on career courses and continuous professional development. **It is vital to practice Life Long Learning, to read history and organisational and leadership theory, then to apply what is learned.**

### **Evaluating**

Developing and evaluating go hand in hand. Evaluating involves reviewing and analysing the effectiveness of any plan, operation, system, unit, self and others in its purpose, mission and outcome. Evaluation is a valuable tool for all leaders to assess the natural learning and experience gained. Formal and informal evaluation is an iterative process undertaken throughout the Leadership Framework. Setting goals and maintaining standards are central in assessing operations and mission accomplishment. Involving subordinates in assessments becomes more important as the span of authority increases but it is also necessary to make certain assessments. Leaders often conduct an initial assessment before they take over a new position and should consider what is expected of them? How competent are their new subordinates? Watch how people operate to establish the organisational climate, Review the organisation's Standard Operating Procedures (SOPs) and meet the outgoing leader and listen to their assessment. It is best not to take anything for granted....**and to take a look at oneself.**

DFHQ, Formation and Service level inspections remain fundamental to evaluation. Other methodologies are In Process Reviews, After Action Reviews and Lessons Learnt Processes. Successful assessment begins with forming a picture of performance at an early stage through an In Process Review. Anticipate areas where problems may have arisen, identify concerns early and take steps to correct or avoid them. Leaders use these processes to:

- Develop subordinates
- Give subordinates a chance to talk about how they see things
- Teach them how to look past a problem's symptoms to its root cause
- Give constructive feedback.

When subordinates share in identifying reasons for success and failure they become stakeholders. These processes also give the leader the opportunity to evaluate with honesty and a chance to hear what's on subordinates' minds. **Good leaders listen closely.**

### **Achieving**

Achieving the mission is the culmination of all plans and leadership is paramount in ensuring effective results and getting the job done on time. Achieving is about fulfilling tasks, taking care of people and managing resources in mission success. Achieving actions include planning, preparing and executing. This involves evaluating and generating detailed, executable plans that are feasible, acceptable and workable. Strategic planning must balance competing demands across





the Defence environment maintaining focus on the achievement of strategic end states. **Strategic leaders** stay on top of multiple demands and oversee relationships with other organisations, as part of a total national defence and security response. The Chief of Staff of the Defence Forces is required to give military advice to government and in national policy forums, interpret national policy guidelines, maintain military capabilities, present resource requirements and develop strategies to support national objectives.

**Operational** leaders use the Military Decision Making Process<sup>19</sup> for decision making, planning and achieving. The Comprehensive Operations Planning Directive<sup>20</sup> methodology also provides a common understanding of the principles and approach to operations planning and training. The language is different: lines of operation, decision points, branches, sequels, operational objectives, strategic end states, and is indicative of a 'systems' approach. Size and complexity demand a creative leader and a functioning staff process. Joint Task Force commanders and staffs must understand joint and combined procedures and campaign planning in non linear, information intense environments that challenge leaders to synchronise and execute. Initiative and empowerment are key to operational leading and execution.

**Tactical leadership** requires the leader to have the unit function effectively in an environment that can be chaotic. Good planning eliminates uncertainty. The Military Decision Making Process and Troop Leading Process<sup>21</sup> processes are key enablers in planning and decision making and sound leaders give sound guidance, issue Warning Orders and rehearse. In execution, all leaders must know the commander's intent two levels up. They should position themselves well to control the action, react to change, keep people focused. A well trained organisation achieves the mission even when things go wrong.

### Conclusion

This Leadership Framework provides a straightforward way to discuss and critically think about leadership. Just as individuals can use it for self awareness and development, commanders can mentor and develop leaders, and training establishments can use it for education. The Leadership Framework that supports **“who the leader is, what the leader knows, how the leader behaves, and what the leader does”** produces something greater than the sum of the parts. A great leader possesses character and competence, embraces values, mentors and coaches their subordinates and practises Life Long Learning in a Learning Organisation to achieve the mission today and tomorrow. While Chapters 4 and 5 will 'flesh out' the Leadership Framework with emphasis on values, character and competence, Chapter 3 will firstly reflect upon the fundamental understanding of power, authority, command and management required by a leader when implementing the Defence Forces leadership framework.

#### STAY CURRENT!

*Finally, he saw the truth. This truth that he, the Senior Commander of his own military forces, the fiercest, most implacable, most devastatingly powerful foe his enemy had ever known just didn't have it. He'd never had it. He had lost before he started. He had lost before he was born. The enemy had changed. The enemy had grown, had adapted, had invested years of intensive study into every aspect of his own forces and tactics, in preparation for exactly this day. The enemy had remade themselves. They had become new. While his forces had spent the same time training to refight the last war.*

What great military commander's thoughts are captured above?

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# UNDERSTANDING LEADERSHIP

*Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.*

## Introduction

The Defence Forces define doctrine as fundamental principles by which military forces guide their actions in support of national objectives. This doctrine provides an authoritative guide for leaders of the Defence Forces, reflects the past, is relevant to the present and attempts to anticipate the future.<sup>22</sup> In this context it is important that Defence Forces leaders understand the concepts of command, authority, management and 'Mission Command'; the philosophy promoted by the Defence Forces. This chapter undertakes this task of understanding and identifies the leadership roles within the Defence Forces.

## Leadership, Command and Authority

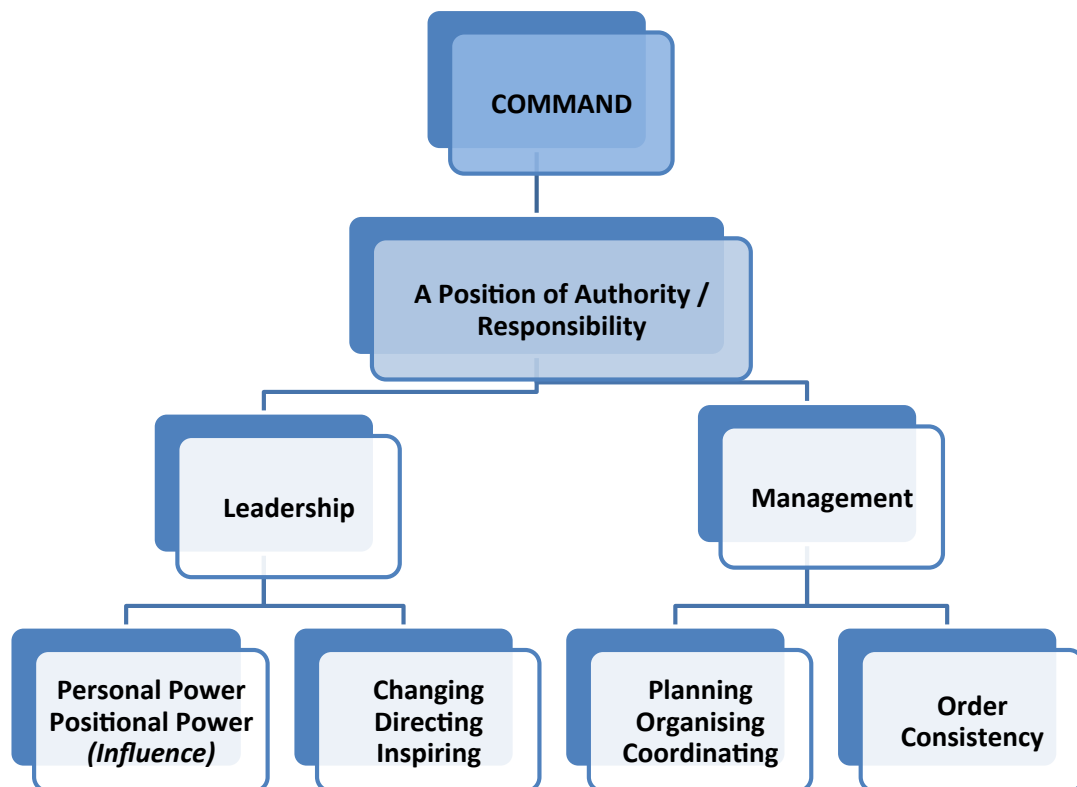


Figure 3.1 The Position of Command

Leadership in the military environment involves moral and ethical complexities rarely experienced in civilian life. A military leader possesses constitutional command and power of a magnitude which surpasses that of leaders in most other professions. **Command is “the military authority and responsibility of an officer to issue orders to subordinates, pertaining to the command vested in him or her, covering every aspect of military operations and administration”.**<sup>23</sup> Command therefore is a position of authority to which a person is legally appointed and a position which carries grave responsibilities, ultimately up to the point of deliberately putting lives at risk (Figure 3.1). A commander exercises authority over subordinates by virtue of appointment, which is positional power. That authority, derived from law and military regulations is immutable. Thus, the commander must accept that this responsibility cannot be delegated. **Commanders alone are responsible for all that their unit does or fails to do.** Effective military leadership does not depend exclusively on

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command authority. It requires validation by subordinates through the development of personal power so that the effective military leader can persuade subordinates by force of character, rather than simply compel them by force of law. **“Military commanders are not considered leaders until their position has been ratified in the hearts and minds of those they command.”**<sup>24</sup>

### **Power = Authority and Influence**

Power is a combination of authority and influence. Command authority is the conferred part of a leader's power which is founded in legal instrument, pertains to a position held and may be temporary. Leaders enhance their position and thus power by exerting positive influence on their followers. There are two types of power: positional power and personal power. **Positional Power** is power that emanates from the command authority. People gain and lose positional power on occupying and leaving commands, appointments or ranks. Appointed leaders can also compromise their legitimacy through improper conduct or ineffective performance. **Personal Power** is the power a person holds by virtue of their personality, charisma or character. It is gained through individual effort and adaptive learning and it is maintained through performance and conduct. The capacity to influence is central to personal power. What makes influence relevant is the leader's potential to affect the beliefs, values, attitudes, behaviour or performance of individuals or groups to achieve some purpose.

### **Management**

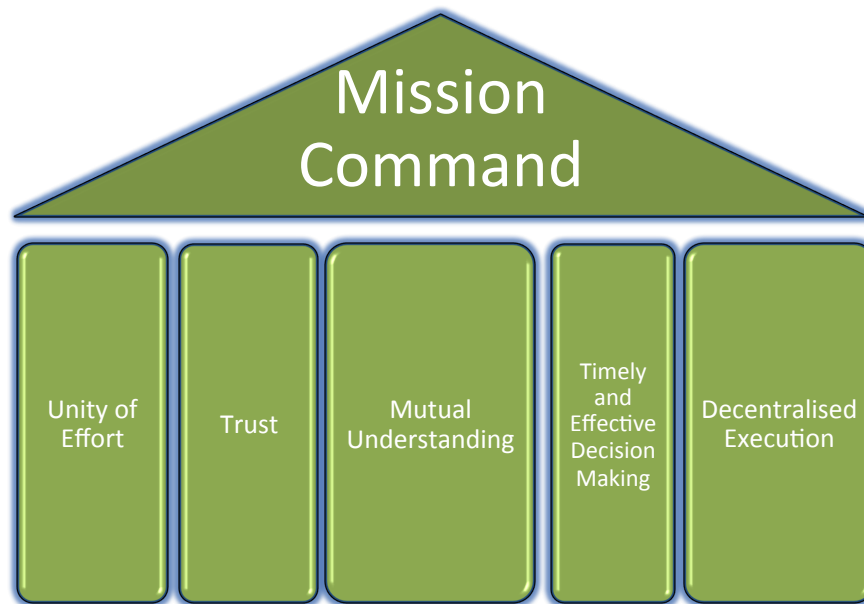
Management is the allocation and control of resources, human, material and financial, to achieve objectives, often within time. Management requires a range of techniques and skills to enhance and facilitate the planning, organisation and execution of any task. Effective management practices create a positive influence on the group process and performance. The manager ensures the smooth running of day-to-day affairs, through the interpretation and enforcement of strategy, organisational systems, processes and procedures. The Defence Forces Annual Plan and Training and Education Directive are tools of strategic management. Management activities may be perceived as less important than those associated with leadership; however they are functions that are critical in the capability delivery of the Defence Forces.

### **Leadership and Management**

The successful combination of leadership and management are central to effective command. Leadership and management are not mutually exclusive and both are necessary for success. We associate management with planning, organising and co-ordinating; leadership with changing, directing and inspiring. Good management brings order and consistency and effective leaders are required to have strong management skills. It has been said that **management is about doing things right and leadership is about doing the right things**. The individual who is a good manager and poor leader will achieve little; the reverse is also true. History shows that where leadership was neglected for management the consequences were regrettable.

### **Mission Command**

Mission Command, the leadership philosophy of the Defence Forces, is values based and focussed on mission accomplishment and improving the organisation. **Mission Command is a philosophy of command that promotes decentralised command, freedom and speed of action and initiative, but is responsive to superior direction.**<sup>25</sup> It involves the nurturing of trust and the developing and empowering of leaders at all levels to unlock potential. Trust is the sum of a thousand small acts, while its undermining may be precipitated by a single event. The structure that enables this philosophy is Mission Command. Mission Command allows subordinates understand their commander's intentions and complete their tasks within laid down parameters. Mission command requires a style of leadership that recognises five supporting elements: **Unity of Effort, Trust, Mutual Understanding, Timely and Effective Decision Making and Decentralised Execution. (Figure 3.2).**



**Figure 3.2 Supporting Elements of Mission Command**

Mission command requires that:

- Subordinates understand clearly the commander's intent, their own missions, and the strategic, operational and tactical context
- Subordinates understand what effect they are to achieve and the reason why it is necessary
- Subordinates be given adequate resources and in turn allocate sufficient resources
- Commanders exert appropriate control so as not to limit unnecessarily the subordinate's freedom of action
- Subordinates decide how best to achieve their missions, but must keep their commanders informed of their intentions and actions.

Any approach to mission command stresses that it should be practiced in training for military operations in general and not for a particular operation; that mission command does not apply to all situations and to all people; that it should be applied wherever possible in peacetime and with flexibility in order to ensure the effectiveness of the philosophy.

### **Leadership Roles**

The Defence Forces advocates the concept of Mission Command whereby all personnel can and must contribute to leadership within the organisation either formally or informally. All members should live by the volunteer ethos and defend, protect and support the Irish people and State. Defence Forces leadership consists of all ranks. Their duties, responsibilities and roles complement and overlap each other.

### **Commissioned Officers**

Commissioned officers have their authority vested in them through their commission signed by the Commander in Chief, Úachtarán na hÉireann. The mission command philosophy empowers the officer to be flexible in approach while maintaining the commander's intent through to mission accomplishment. The roles of commissioned officers include achieving the mission and developing the unit. Commissioned officers serve at the tactical, operational and strategic levels. At the tactical level they deal face-to-face with their subordinates while at the





operational and strategic levels they develop and implement strategies and policies that set the direction of the organisation. **The commissioned officer is responsible and accountable for everything their personnel do or fail to do.** And while they depend on their own expertise and skills and those of their subordinates to implement plans or policies, the reality is that the officer in charge must always bear responsibility for mission success or failure. Command, the sole remit of the commissioned officer, brings the burden of life and death of those in their unit. Commissioned officers must balance risk with the achievement of the mission and the welfare of their troops. This challenging task goes to the core of the role of the officer.

As officers progress through their careers and leadership levels, they must ensure that they have the professional knowledge and leadership skills to be competent and prepared at all times. **The commissioned officer must always be aware of the power of personal example.** They must follow the volunteer ethos and live the Defence Forces values to ensure they make ethical decisions. They must be prepared to selflessly put the needs of Ireland, the Defence Forces and their unit before their own interests. To be a commissioned officer is a unique responsibility and places a great onus on the individual to carry forward standards and traditions and ensure that he or she is an individual leader of character and competence that can meet the needs of the organisation and people he or she leads.

### **Non Commissioned Officers (NCOs)**

NCOs provide the critical link in the mission command philosophy by demonstrating flexibility, discipline, maintaining standards and values, being mission focused while pursuing the commander's intent at all times. NCO leadership is essential for the conduct of day-to-day tactical, support and staffing functions central to organisational effectiveness across all formations and services and at all levels of the Defence Forces. Often they are specialists or technical experts but as a group they are the critical link in the chain of command of Óglaigh na hÉireann. An NCO must have strong leadership skills and be able to operate at all levels. NCOs are key implementers. They execute plans, make decisions, solve problems and overcome obstacles in delivering outputs and mission achievement. Officers should seek and listen to the advice of their NCOs. Privates, ratings and aircrew look to NCOs as their role models because they are the first link in the chain of command. They look first to the NCOs for leadership, advice and support because they work with them on a daily basis. They identify with NCOs as personnel who previously served in their rank, know their role and understand it. In turn, NCOs must always be conscious that their behaviour and standards will influence team members.



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NCOs operate as leaders as part of army teams, ships crews, air crews. They are often personnel with vast experience. When policy is set, NCOs must maintain and enforce these policies. They influence individuals, training, procedures and systems through the provision of advice and support both up and down the chain of command. NCOs must be adaptable, open minded and ready to support change. Very often our NCOs are the longest serving members of a unit, school or team and are often the custodians of the 'corporate knowledge'. This unique perspective readily equips the NCO to contribute to ongoing evaluation and development thus improving the unit and the Defence Forces. NCOs are key direct leaders who through their influence leave a lasting impact. **NCOs occupy a unique position within the Defence Forces as they are the glue that holds the organisation together and the oil that keeps the cogs moving.** NCOs must be fully aware of this responsibility and work continuously to be the leaders of character and competence that the organisation needs.

### **The Leadership Role of Soldiers, Sailors and Aircrew**

Every member of the Defence Forces is a leader. Though personnel at the rank of private, rating, airman or airwoman are not formal leaders or commanders, they must be responsive to mission

command and fulfil their role in mission accomplishment. It is expected that they be positive and constructive towards the mission and their leaders, and that they utilise their full ability to help achieve the mission, support effective leadership and improve the organisation. Personnel at this rank support mission accomplishment and provide influence and leadership by living the Defence Forces Values. This rank is often the first point of contact for the public with the Defence Forces. Their training equips them with the knowledge, discipline, skills and motivation to fulfil this vital role. In this way they too must have the character and competence to positively contribute to the organisation. A senior able seaman maintaining high personal standards and demonstrating organisational values will encourage and foster the same standards among the crew. Soldiers, sailors and aircrew of this rank through their vast experiences contribute to the development of the organisation by communicating ideas and observations up the chain of command. In this way they support the mission and the leader.



### **Conclusion**

This chapter has provided an understanding of the relevant concepts of command, authority and management, the mission command philosophy and the leadership roles which, together with the leadership framework as described in Chapter 2, lay the foundation for the entire Defence Forces Leadership doctrine. Chapter 4 looks in greater depth at the organisational values, ethos, culture and climate which should be espoused by leaders of the Defence Forces.

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# DEFENCE FORCES – VALUES, ETHOS, CULTURE AND CLIMATE

*Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.*

## Introduction

The Defence Forces values are threaded throughout our leadership doctrine. This chapter defines these values and reflects upon the importance of organisational ethos, culture and climate to the leader. Ethical leadership and behaviour are intrinsically linked to Defence Forces values. The ethical process and learning associated with decision making is expanded upon in this chapter.

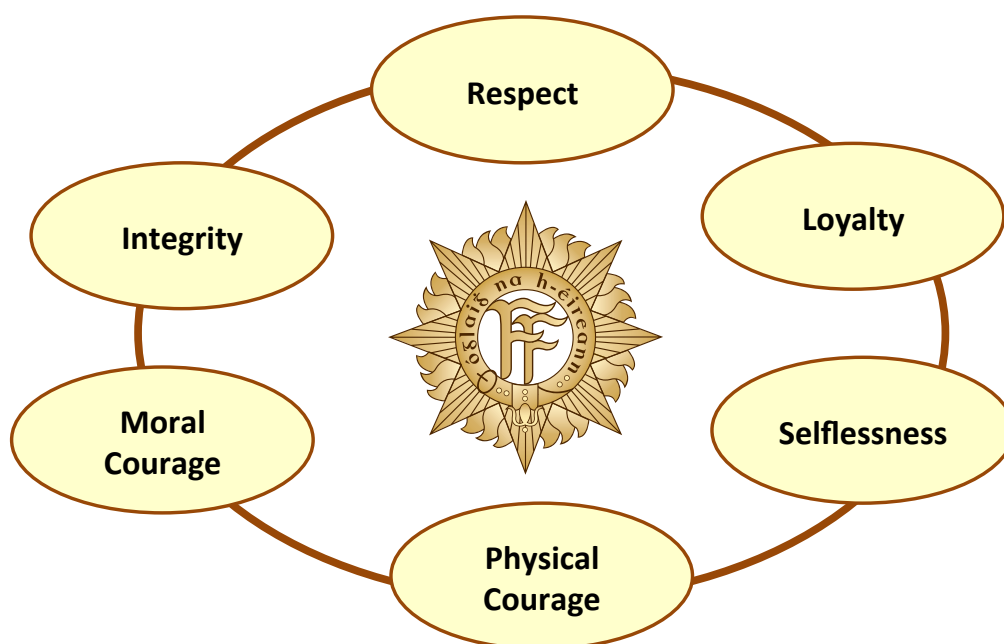


Figure 4.1 Defence Forces Values

## Defence Forces Values

A value is a belief about what is centrally important and hence what should take precedence in guiding behaviour, decisions and actions. **Values influence and regulate behaviour; are embedded in institutional practices; are seen to contribute to decision making and are constantly reinforced.** They are part of the military ethos and culture, and are transmitted through example, instruction and socialisation to successive generations of personnel. Without values, individuals may choose to pursue behaviour inconsistent with the value systems of the organisation. The Defence Forces values are **Respect, Loyalty, Selflessness, Physical Courage, Moral Courage and Integrity.** These values are not unique but they exist in a military culture, which in turn is unique in Irish society. This sets the Defence Forces apart.

The military as the profession of arms has unique responsibilities within society and demands of its members a standard of behaviour that supersedes self interest. Members of the Defence Forces must avoid behaviour that risks degrading their profession or damaging the trust and respect that exists within the organisation, between individuals and with society. This is encapsulated in the Defence Forces Dignity Charter which encourages and supports the right to dignity at work. Codified values set the standard of behaviour expected of the individual and the organisation within

Irish society, in accordance with the Constitution. Values provide a mechanism for freedom of action for leaders while ensuring that their behaviour is both appropriate and professional.

## Leadership and Values

The Defence Forces leadership doctrine is values based and has an inherent developmental focus. Our values must be fostered and enhanced by leadership at all levels and in all contexts. Defence Forces leaders instil values in individuals during their induction, through the Code of Conduct and Standard of Behaviour for Cadets and New Entrants Handbook, towards meeting the expectations of the organisation and Irish society. **In a fundamental sense effective leadership is about the creation, expression, safeguarding and preservation of values.** Our values must be clearly known, understood and nurtured. We must live by them.

## Defence Forces Values Defined

### Respect

Respect is based on an understanding that all people possess worth as human beings. **Respect starts with self-respect and it should extend to peers, subordinates and superiors.** Not only is it crucial for the maintenance of morale, good order and discipline within our military units, it is the basis for building a culture of dignity and fairness. We must demonstrate empathy, humility, decency, tolerance and fairness in our treatment of others, both within and externally. We must stand forthright, individually and collectively, against discrimination, bias, prejudice or favouritism, even under difficult conditions. We must also show respect for the property and culture of others. In accordance with Irish and International law, we are required to demonstrate respect in our treatment of all human beings and this extends to hostile parties to a conflict, prisoners, and civilians, the wounded and deceased. Finally, we must demonstrate respect for the Defence Forces, its traditions and the military ethos under which we issue and receive our orders to achieve our mission.

### Loyalty

Loyalty is the faithful adherence to a person, unit and the organisation. It is the thread that binds our actions together and causes us to support each other, our superiors, our family and our country. Loyalty also binds all ranks together and like respect it extends to our superiors, our subordinates and our peers, enhancing welfare, team spirit and effectiveness. Loyalty has a significant impact on operational success and it requires that each of us does our duty. **Loyalty extends beyond those we work with and we must also be loyal to the organisation, 'faithful to Ireland and loyal to the Constitution'.** There is no rule as to which loyalty should come first but it must apply to everyone. Sometimes it will be to our peers, subordinates and superiors, but it should always be to the mission and the Defence Forces. **Misplaced loyalty, however well intentioned, has no place in the Defence Forces and loyalty to another individual or unit can never be used as an excuse to facilitate or cover up wrong doing of any type.**

### Selflessness

Selfless service means placing duty before personal needs and desires. We are part of an organisation where individual needs and desires are subordinate

#### OATH ON ENLISTMENT

I do solemnly swear (or declare) that I will be faithful to Ireland and loyal to the Constitution and that while I am a member of the Defence Forces I will obey all lawful orders issued to me by my superior officers and that while I am a member of the Permanent Defence Forces I will not join or be a member of or subscribe to any political organisation or society or any secret society whatsoever and that, if I become a member of the Reserve Defence Forces, I will not, while I am a member of the Reserve Defence Forces, join or be a member of or subscribe to any secret society whatsoever.



**Put your duty before yourself**

to those of the team and organisation. As members of the Defence Forces, we are committed to performing the roles assigned to the military by the Government. **Selflessness reflects the personal commitment required to serve whenever and wherever we are needed.** Military duty requires self-sacrifice in the achievement of the mission and generally places greater demands on members of the Defence Forces than other citizens of the State. It imposes limitations and restrictions on our rights and freedoms relative to those enjoyed by other citizens of Ireland as we are all subject to military law as well as civilian law.

### Physical courage

Military duty by its very nature may require us to operate in physically demanding and potentially life threatening situations. Physical courage means overcoming fear in those situations when faced with bodily harm. **We must possess sufficient physical and mental endurance, toughness, resilience, perseverance and strength of character, not only to survive, but to operate effectively in dangerous conditions and successfully complete the mission.**

### Moral courage

Our faithfulness to Ireland and our loyalty to the Constitution demands that we must always do what is right, even if these actions are unpopular or challenge prevailing attitudes. **Moral courage enables us to speak out clearly when required by confronting and or reporting wrong doing, inappropriate behaviour, breaches of the rules and or a lack of professionalism.** To accept anything less is to lack moral courage. Furthermore, as members of the Defence Forces we have the authority to use lawful and lethal force in the performance of our duties in accordance with Irish laws and international mandates. The use of such lethal force, or restraint from the use of such force, may require significant moral courage.

*"In the same way [we look] forward to making the army a national institution through which the young men of Ireland [would] pass to be much better men and citizens"*  
Gen Richard Mulcahy



#### HISTORICAL VIGNETTE 4

Private Thomas Metcalfe BMC  
B Coy, 5 Battalion, 25 July 1981

*"In July 1981, while on security duty in Portlaoise Prison, a section from 'B' Coy, 5 Inf Bn were in the duty room having recently come off post within the Prison. Suddenly the alarm went off, and somebody shouted that there was a fire in the Clock Tower at Post 7. We ran towards the Clock Tower where we could see a couple of NCOs trying to get to our colleague who was on duty up in the Tower. We could see he was trapped as there was only one exit from the Tower and it was blocked by the fire. The NCOs could not get to him as the fire was blocking their attempts. The Platoon Sgt realised that the only escape route for the soldier was down the side of the building and asked for a volunteer to climb up the drainpipe and help to rescue this man. Despite the obvious danger and perilous nature of the circumstance, I was aware that without help our team mate may not survive, so without thinking of the consequences I volunteered to attempt the rescue. A member of the section tied a fire hose around my waist in order that the soldier could climb down the side of the Tower once we had secured it to the top. The first 15 ft of the drain pipe was enclosed to stop people from climbing up so I had to stand on the shoulders of a Corporal in order to reach up and get a grip on the metal pipe. The rescue was successful and both myself and the trapped soldier escaped without injury"*

Pte Thomas Metcalfe BMC (Retd)

Pte Metcalfe was awarded the Military Medal for Gallantry (with Merit). Citation: "For an act of exceptional bravery and with little regard for his own safety, on the 25 July 1981, in Portlaoise Prison during an outbreak of fire, he voluntarily scaled a forty foot high drainpipe in darkness, and succeeded in rescuing a comrade soldier trapped on a blazing rooftop"

## Integrity

Integrity means to firmly adhere to a code of moral and ethical principles. It means that we demonstrate and demand the highest standards of ethical behaviour and moral values, by displaying honesty, sincerity, reliability, consistency and a willingness to speak in an open and straightforward manner as a situation may require. **Integrity encapsulates many aspects of the other Defence Forces values under one heading and is a cornerstone in military leadership and followership.** Integrity is vital in developing trust in our working relationships, and trust in turn enhances confidence and commitment within the team, the unit and the Defence Forces.

## ETHOS

Óglaigh na hÉireann was established in 1913 with the intention of achieving and supporting Irish independence and in 1919 alongside Dáil Éireann established an Irish Republic.

The 'Volunteer ethos' captures the essential spirit, strengths and values of Óglaigh na hÉireann. It recognises the heritage, customs and achievements of the organisation and it guides the behaviour of members of the Defence Forces - Óglaigh na hÉireann. The ethos and values we cherish and espouse today have not changed throughout our history and have served us well in the delivery of devoted and steadfast service to the Irish people and state. We provided stability when the security of the State was challenged and members of the Defence Forces should understand and be proud of this tradition of untarnished service. **It is our greatest strength and raison d'être.**

The Defence Forces has a proud tradition of impartial international service in support of peace, which has built upon the well established traditions of the Irish soldiering. As Irish people and volunteers of Óglaigh na hÉireann we bring many great characteristics and abilities to our operations at home and abroad with the United Nations and other international organisations. Our national traits of good communication skills, empathy and humour coupled with high standards of professional development, experience, impartiality and respect for all, have served us well abroad and allowed us to establish the rapport with people that is valued on every international mission.

Though members of Óglaigh na hÉireann have always endeavoured to bring stability to every area of operations, we have also regularly demonstrated our resolve and commitment to the mission through force of arms, often in the face of overwhelming odds. The Volunteer Ethos established throughout our history centred on:

- Working and living with and for the Irish people and the Irish State
- Putting the mission and organisation before ourselves
- Always doing the right thing
- Always supporting each other
- Living the Defence Forces values



**Irish Troops on UN Service then and now**



This has supported our proud record to date and equips the volunteer of Óglaigh na hÉireann to face the challenges of the future. We will continue to Defend, Protect and Support the Irish people and State at home and represent our country with distinction on international service. Partnerships with other militaries often facilitate our engagement with international and regional security initiatives. In all of this, the Defence Forces must uphold the highest standards of international and military law. Leaders must be conscious of their responsibility to uphold our ethos and the ethos of the international or regional organisations.

## Culture

Culture refers to the environment of the Defence Forces as an institution and the major elements within it. Our strategic leaders are the custodians of the organisational culture. **Culture can be defined as the values shared by the organisation's members and the tacit assumptions or unspoken rules which may only be evident to those who are serving in the organisation the longest.** Numerous sub-cultures may exist within an organisational culture including at formation, service, corps or unit levels.

Organisational culture or sub-cultures permeates throughout all the organisation's activities and shape how leaders lead. Understanding culture begins with understanding cultural artefacts such as: language including jargon, rites, ritual and ceremony, symbols, legends and heroes, obvious in what we do and say and visible in the climate of the organisation. Culture can result in positive and negative outcomes. It can be a significant barrier to change by placing pressure on personnel to conform to the 'old ways' rather than to embrace diversity and change. In this sense it is the invisible and less obvious beliefs, values, feelings, attitudes, norms and assumptions under the surface, that part of the 'cultural iceberg', that are impacting for good or bad on the formation, service or unit.<sup>26</sup>

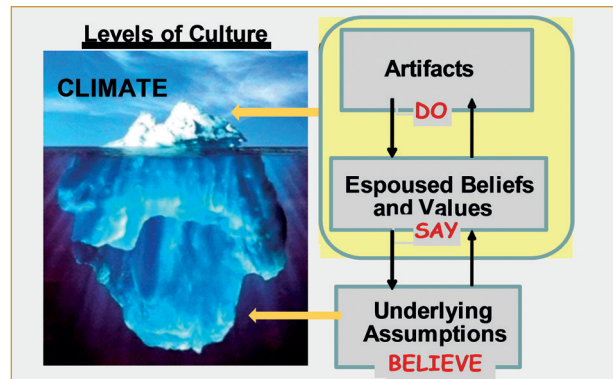


Figure 4.2 Organisational Climate & Culture

Some aspects of the established culture are of importance as they comprise the patterns that set military culture apart from society. Loyalty and faithfulness to Ireland and its Constitution are central tenets of our military culture. A sense of duty, common values and a calling to serve the nation remain an unspoken part of that contract. Young people are drawn to the military life because it is different. **The expectation is therefore created by default that the culture of the Defence Forces is manifestly different from that in society.** Organisational culture is evident within teamwork, team spirit, discipline and shared contribution. Defence Forces personnel are expected to display leadership competencies appropriate to their role and in their communities. This is characterised by accountability for personal, subordinate and unit performance, genuine concern for the welfare of troops and professional competence across a spectrum of knowledge, skills and attributes. Leaders must promote the continued development of the correct culture which will enable positive evaluation, development and achievement of the mission.

## Climate

To develop the organisation, we must work within the culture and build a climate of trust. Climate refers to the environment of units. **Climate can be defined as a perception among the members of a unit about how they will be treated by their leaders and what professional opportunities they see within the unit.** One can sense the climate (good or bad) of a unit, barracks or base, in interacting with its people and structures. All unit leaders

### CLIMATE – BOTTOM LINE<sup>27</sup>

- Lead by example 'live the values'
- Promote Trust
- Communicate positively
- Set clear priorities and goals
- Implement a reward system
- Know your job
- Admit fault or errors
- Seek input and act on feedback
- Empower junior leaders to make decisions
- Manage stress

You are the key to a successful command climate

establish their organisation's climate, purposefully or unwittingly. Your success depends on your ability to build this climate. Unlike culture, climate is generally short term: it depends on the leader and the network of personalities in a small organisation. As leaders change the climate changes. **One of the main factors that determines climate is the leader leading by example and living the values of the organisation in everything that he does.** Defence Forces leaders who do the right things for the right reasons even when easier to do the wrong thing, create a healthy climate. Leader behaviour has the greatest effect on this climate by signalling to every member what the leader will and will not tolerate.

### A Positive and Transparent Climate

Leaders are responsible for adhering to equal opportunity policies and to preventing harassment. Creating a positive climate begins with encouraging diversity and inclusiveness, ensuring that personnel are valued as unique individuals. A leader who is consistent and transparent builds a positive climate. Although leaders should be fair in how they treat others, not everyone will be treated exactly alike. People have different capabilities and needs, so leaders should consider some differences

while ignoring irrelevant differences. Leaders judge situations according to what is important in each case. While not everyone will receive the same treatment, fair leaders will use the same principles and values to avoid arbitrary treatment of others.

#### ASSESSING ETHICAL CLIMATE<sup>28</sup>

- **Identify informal organisational norms.** Are they consistent with the formal rules and policies?
- **Who is the organisation's role model today?** What values do they represent?
- **What are some important organisational rituals?** How do they encourage or discourage ethical behaviour?
- **Who gets the awards,** people of integrity who are successful or individuals who use unethical methods to attain success?
- **What ethical messages** are sent to new soldiers in the organisation—must they obey authority at all costs, or is questioning authority acceptable or even desirable?
- **Do organisational stories and myths** reveal individuals who stand up for what's right despite pressure, or is conformity the valued characteristic?

### Climate and Ethical Leadership

Ethical is defined as being “in accordance with principles of conduct that are considered correct”.<sup>29</sup> A leader is the ethical standard-bearer for the organisation, responsible for building an ethical climate that demands and rewards behaviour consistent with the organisation's values. Other staff specialists such as the Provost Marshall, Chaplaincy Service and Defence Forces Ombudsman assist in shaping and assessing the organisation's ethical climate. Regardless of the expert help, responsibility to create and maintain an ethical climate rests with all, with the ultimate responsibility lying with the commander. **Setting a good ethical example does not necessarily mean subordinates will follow it.** Some may feel that circumstance justifies unethical behaviour. Therefore, the leader, through constantly assessing his unit, must constantly monitor the team, unit or organisation's ethical climate and take prompt action to correct any discrepancies that may arise.

### Ethical Decision Making

For the majority of the decisions that we make the right course of action is clear to all, both in a practical and ethical sense. However, leaders may find themselves in situations where they are unsure of how to proceed. For operational, technical, tactical or general decisions the Military Decision Making Process provides a clear process through which to arrive at the best possible solution. **When trying to solve an ethical dilemma the key thing to remember is the Defence Forces Values, as they will guide the leader toward the correct decision.** Experience will obviously be of major benefit to a leader when making a decision like this and more experienced

#### DIFFICULT DECISION?

- **Define the Problem:** Gather perspectives to understand the issue.
- **Know the Rules,** regulations and official policy. This information may offer a clear way forward.
- **Develop & Evaluate COAs by considering all options;** Evaluate each COA relative to DF Values.
- **Decide on the COA:** Choose the option that best represents the DF Values.

leaders can also have a more developed sense of self confidence in their decision making ability. This is known as experiential decision making. For a particularly difficult decision the simple steps within the previous text box will assist.

LEARNING IS LEADING – LEADING IS LEARNING	
KNOWLEDGE IS:	LEARNING REQUIRES:
Created or Acquired	An Established learning Climate
Interpreted and Retained	A Supportive Environment
Transferred	An Embedded Culture
Processed and Practiced	Continuous Reinforcement

### Learning Environment

Leaders learn to look at their experience and find better ways of doing things. It takes courage to create a learning environment. Leaders dedicated to a learning environment cannot be afraid to challenge how they and their organisations operate. When leaders ask “why do we do it this way” and find out the only reason is “because we’ve always done it that way”, it is time for a closer look at this process. Teams that have found a way that works may not be doing things the best way. Unless leaders are willing to question how things operate now, no one will ever know what can be done. **Leaders who make it a priority to develop their personnel and the way teams work, lead a learning organisation, where lifelong learning is part of the ethos and culture.** They use effective assessment and training methods, encourage others to reach their full potential, motivate others to develop themselves, and help others obtain training and education. An upbeat climate encourages soldiers to recognise the need for organisational change and supports a willing attitude of learning to deal with change.

### Conclusion

The importance of values to the Defence Forces cannot be overstated. They are the bedrock of this doctrine and hence this chapter must form the foundation for all leadership development within the Defence Forces. The organisational ethos, culture and climate evolve from these values. Chapter 5 will discuss in greater detail the character and competence of the leader.

#### DEFENCE FORCES OFFICERS COMMISSION

Trusting in your fidelity to Ireland and loyalty to the constitution and reposing special trust in your courage, honour, good conduct and intelligence, I ... (Ainm an Úachtarán), the President Of Ireland, hereby, on the advice of government constitute and appoint you to be an officer of the Defence Forces known as the Permanent Defence Forces as and from ... (date of Commission). You will faithfully discharge your duty. You will exercise and train in arms and maintain in good order and discipline ... (those) serving under you who are hereby enjoined and commanded to render you obedience as their superior officer. You will yourself observe and obey without question such lawful orders as you shall for time to time receive from the Minister for Defence or from any of your superior officers.



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# LEADERS OF CHARACTER AND COMPETENCE

*Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.*

## Introduction

Our leadership framework is centred on leaders of 'Character and Competence'. This conceptualisation recognises that being a leader involves more than possessing a set of skills. This chapter expands these elements of the framework.

## Character and Competence

Character is essentially **who the leader is**. Character is the personal values and attributes (Figure 5.1) of a leader that are inherent in the self. Competence describes the skills and behaviours exhibited by the leader: **what the leader knows and how the leader behaves**. At the heart of values based leadership is the acknowledgement that the character of a leader is just as important as what they do. **Not only must a leader 'do things right' they must also 'do the right things.'** The Defence Forces is a profession and a way of life, where leaders at all levels must set an example for subordinates of how to live that life and uphold the values of the organisation. This is achieved through the character and competence they display.



## Character - Personal Values

**Personal values are values in the individual that have been developed through life experience and have been engendered by family and society.** A person's moral and ethical values assist in determining what is right and motivates a leader to do what is appropriate, regardless of the circumstances or the consequences. An informed ethical conscience, consistent with the Defence Forces values, strengthens a leader to make the right choices when faced with challenging circumstances.

Personal and organisational values sometimes clash. However, the socialisation process, beginning at induction, develops a person's individual values and aligns them with those of the organisation. Leadership training is designed to continue that process and strengthen the values required to lead.

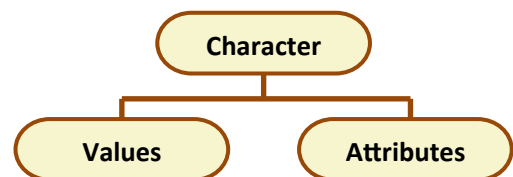
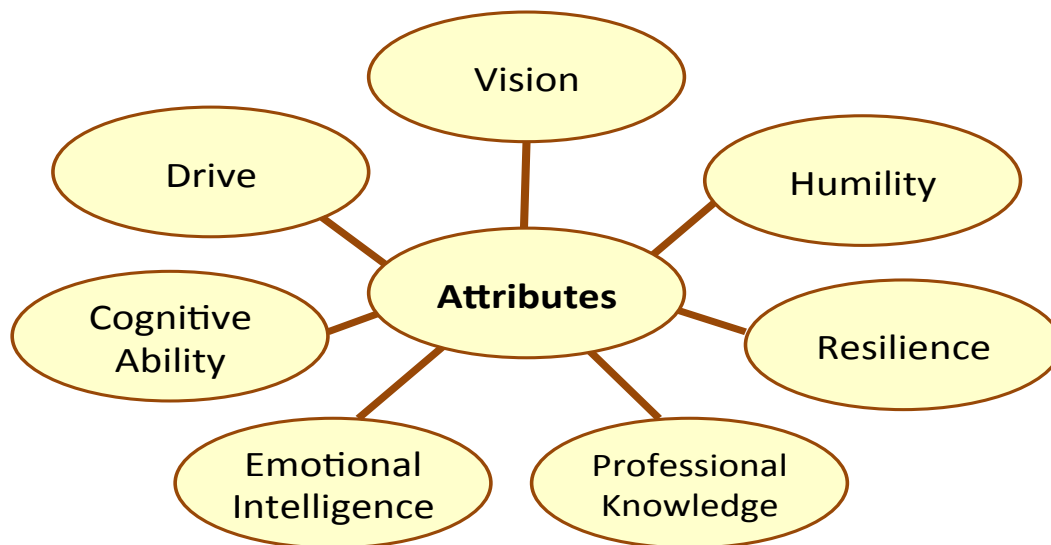


Figure 5.1

## Character - Attributes

**An attribute is a quality, trait or an individual characteristic of a person which they have and/or may develop over time.** Every individual is unique and we all have different attributes. Seven attributes (Figure 5.2) have been identified to reflect how leadership is practiced in the Defence Forces. These attributes do not exclude the individual asserting their own style within the parameters of our organisational values. These attributes are applicable to all leaders at the strategic, operational and tactical levels.



**Figure 5.2 Defence Forces Primary Attributes**

### **Vision**

Vision enables a leader to convey that the mission is possible and assists leaders and followers in imagining a desirable and credible end state. A leader with vision presents a positive view of the future and in doing so brings clarity and confidence. Vision is necessary when persuading and inspiring others to put their lives at risk in operations and is equally necessary to motivate through mundane but vital tasks. Vision is applicable at every level and in every situation. A visionary leader inspires others to feel enthusiastic about their work providing challenges worthy of their best efforts. Vision engenders commitment and dedication often beyond financial reward.

### **Humility**

Humility is about self awareness, understanding personal strengths and weaknesses, modesty and having the courage to admit mistakes. A leader with humility treats others with respect and while self-assured, they value others and welcome their contributions, which in turn makes subordinates feel valued, engendering commitment and shared responsibility. Leaders with humility appreciate their own fallibility. Humility is not an obvious attribute, yet when we consider that it is about putting the needs of others first, its requirement becomes clearer. To lead is to serve, but a leader without humility may find that hard to understand. An arrogant leader does not see their own shortcomings and will fail to capitalise on the skills of their team, because they value them less than their own. A leader without humility may find it hard to practice mission command, believing that they know the best way to complete the task.

### **Resilience**

Resilience is sometimes called 'bounce back ability' and is the ability to cope with hardship, setbacks and problems. Resilience has psychological and physical components. A leader with psychological resilience has the strength to deal with the stress, criticism and restrictions inherent in military life. This involves coping with separation from family and friends, restrictions to personal freedom and long working hours. A resilient leader can recover emotionally from setbacks and can find the humour to keep others buoyant in difficult times. A resilient leader is positive and adaptable and can tolerate situational ambiguity. **Resilience involves making and carrying through, tough and unpopular decisions.** A leader with physical resilience has the ability to perform when deprived of sleep and home comforts that place pressure on the body demonstrating robustness and a firmness of purpose.

### **Professional Knowledge**

Leaders must possess the professional knowledge required to carry out their role in a confident and competent manner. Leaders gain this through education, training and personal experience. Gaining

professional knowledge is a lifelong process and requires continuous professional development. The operational context is constantly changing and leaders must never presume that their knowledge is complete. Professional knowledge encompasses technical, tactical, organisational and interpersonal knowledge. Professional knowledge will help the leader identify and mitigate risk while operating professionally and effectively. Leaders must have the judgment to apply that knowledge and experience and understand the full implications of their actions for the environment and individuals they lead.

### Emotional Intelligence

**Emotional Intelligence (EI) is how individuals perceive, understand, utilise and manage emotions to promote personal effectiveness.** It is the ability to perceive and express emotions, to use emotions to facilitate thinking, to understand and reason with emotion and to manage emotions within oneself and with others.

While intelligence is about our ability to learn and process information and apply it to tasks, EI is about our ability to understand emotions and to apply this understanding. The construct is divided into two domains, intrapersonal (self awareness and self management) and interpersonal skills (social awareness and social skills). EI strengthens and enhances motivation, cohesion and Esprit de Corps through empathy. EI is very relevant in dealing with intense emotions in dangerous and potentially life-threatening situations or in social or internal unit situations. Fear, frustration, anger and self-doubt can all arise in any situation and the leader must be able to recognise and manage these in themselves and in those they lead.

#### EMOTIONAL INTELLIGENCE CONSTRUCT<sup>30</sup>

##### Intrapersonal

- Self-Awareness: Knowing your emotions.
- Self-Management: Managing, controlling and using your emotions. (Influence)

##### Interpersonal

- Social Awareness: Recognising emotions in others. Helps determine approach and influencing techniques. (Develop)
- Social Skills: Knowing how to interact and handle relationships. (Achieve)

While intelligence is about our ability to learn and process information and apply it to tasks, EI is about our ability to understand emotions and to apply this understanding. The construct is divided into two domains, intrapersonal (self awareness and self management) and interpersonal skills (social awareness and social skills). EI strengthens and enhances motivation, cohesion and Esprit de Corps through empathy. EI is very relevant in dealing with intense emotions in dangerous and potentially life-threatening situations or in social or internal unit situations. Fear, frustration, anger and self-doubt can all arise in any situation and the leader must be able to recognise and manage these in themselves and in those they lead.

### Cognitive Ability

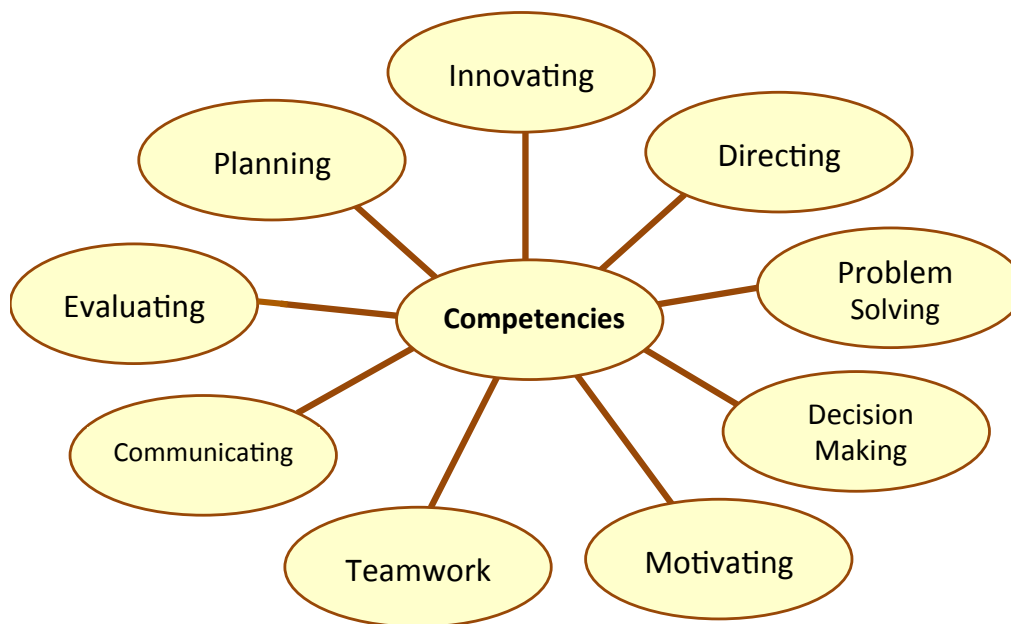
Cognitive ability or intelligence is about the ability to perceive, process information, reason, and think adaptively. It is not about knowledge or academic achievement. A leader must have sufficient cognitive ability to carry out tasks, perceive the requirement, process information, formulate a plan and adapt to change. In the Defence Forces, psychometric testing is conducted during the selection process to ensure that individuals have cognitive ability. Cognitive ability will shape a leader's conceptual abilities to anticipate and adapt to uncertain or changing situations. The leader must be able to think through the wider consequences of decisions and actions and their impact on mission achievement. This is vital in Mission Command.

### Drive

Leaders with drive achieve through energy, persistence and tenacity. Drive, or self-motivation, is required in order to meet the physical and mental demands of military life. Before a leader can motivate others, they must first motivate themselves, whether it is to go over that mountain or to rewrite that document until it is acceptable. A leader with drive will persist through adversity. They set high targets for themselves and have the determination to reach those targets. A leader with drive will use initiative.

### Competence

**The Defence Forces leader is one of character and competence.** There are nine core competencies as outlined in Figure 5.3. These competencies are a set of skills that have been identified as common skills required of all leaders regardless of rank. The manner in which these competencies are exhibited will differ across the leadership levels. Where character described **who the leader is in terms of values and attributes**, competence describes the skills and behaviours exhibited by the leader: **what the leader knows and how the leader behaves.** These skills and behaviours, when merged with the values and attributes, will enable the leader to Influence, Develop, Evaluate and Achieve the mission.



**Figure 5.3 Defence Forces Core Leadership Competencies**

**Innovating**

Innovation is about thinking and acting creatively, developing fresh perspectives and improvising. Innovation enables leaders to improve the organisation. An innovative leader will lead more effectively and improve the conditions of those they lead. A leader with innovation is one who can conceive of a better way of organising his team, unit or personnel or develop a more effective communications strategy, but he will not change for the sake of change. An innovative leader thinks creatively or ‘outside the box’ on how to manage situations, leads change, takes appropriate risks, encourages others to do the same and is a self starter who uses initiative and creative thinking to get the job done. Innovating leads to change and progress, as leaders encourage new concepts and projects, exploit opportunities and develop contingencies to enhance relevance.

**Directing**

A leader must provide clear direction to those they lead in order to effectively control situations. While mission command is an ideal approach, there will be occasions when the situation demands that the leader directs others more specifically, possibly when followers do not have the training or expertise to work independently. It can often be the case that leaders have to order others to carry out undesirable or unpopular tasks. In chaotic environments, followers will look to the leader for direction and will gain reassurance from strong and definite orders.

**WHO ARE YOU DIRECTING?**

*“The soldier is a man; he expects to be treated as an adult, not a schoolboy. He has rights; they must be made known to him and thereafter respected. He has ambition; it must be stirred. He has a belief in fair play; it must be honored. He has a need of comradeship; it must be supplied. He has imagination; it must be stimulated. He has a sense of personal dignity; it must be sustained. He has pride; it can be satisfied and made the bedrock of character once he has been assured that he is playing a useful and respected role. To give a man this is the acme of inspired leadership. He has become loyal because loyalty has been given to him.”*

Gen George C. Marshall

**Problem Solving**

Problem solving involves analysing problems and breaking them into component parts to reach solutions. A leader must have the capacity to analyse the range of problems that the military environment can provide including operational, administrative, logistical or interpersonal problems. Each situation will require the leader to think adaptively and work through a solution. It is important that the leader can identify that a problem exists, even if it is of their own making. Problem solving involves reasoning and logic and is enhanced by thorough and systematic inquiry. It is enabled by the Military Decision Making Process.



## Decision Making

A Defence Forces leader must be capable of making a decision and committing to a course of action. They must use judgement to make a choice between alternatives. Judgement is the key to sound decision making, informed by experience and developed with common sense. Decision making is a product of problem solving and the Military Decision Making Process is a military analysis tool designed to aid effective decision making. Humans risk error in decision making and are prone to bias. Leaders must be aware that biases, fatigue and stress can influence thought. Risk management must be balanced with mission accomplishment in order to make appropriate and timely decisions.

## Motivating

Drive is an important attribute. However, personal drive does not get the job done where that job requires a team to complete it. Leaders must motivate themselves and those they lead. They must understand how to motivate others and the form that motivation must take at a given time, whether through encouragement, persuading, impelling, inspiring or the threat of sanctions. How you deal with this will depend on the view you adopt of yourself.



## Teamwork

While leaders must lead teams or groups, they are also part of those teams and must interact with others effectively. Few leaders operate independently and so must work actively with colleagues in a supportive and collaborative way. The Defence Forces leader sets example and displays that they are proud to be part of the team, as others will be heavily influenced by their attitude. The leader needs to be able to include team members and ensure they realise they have a valued contribution to make to that team. A leader builds cohesion and co-operation within the team, minimises unhealthy conflict and reinforces the common bond of Defence Forces values.

## Communicating

A Defence Forces leader must communicate with those they lead and be comfortable with communication methods. He must be competent in speaking, listening, non verbal and written communication and comfortable with electronic media. Effective leaders will use methods that suit their own style and the needs of their subordinates. **Effective communication enables influencing and is clear and unambiguous.** Leaders practice active listening, conveying their attentiveness and interest and intention to understand. Listening will allow the leader to identify problems, harness ideas, gain information and engender commitment from followers. More complex skills including negotiation are required to effectively represent the Defence Forces to external agencies and to secure organisational change.

### HISTORICAL VIGNETTE 5 LT GEN DERMOT EARLEY DSM - 2005

*"I compare sporting challenges, in the team context, to life. It's not about the major contribution, the spectacular, the scene stealing contribution. It's about the fellow on the field who just by shimmying to the left, changes the whole context. He has the understanding to move into a space that requires the opposition to adjust and it allows you to get the score. And you are the hero and you will get the headlines in the paper. He knows himself he did it but you also know and if you recognise it, if you turn around to him, it makes him top of the world. Life is the same. Nobody gets there without the help of others."*





## Evaluating

A Defence Forces leader must evaluate the actions of themselves and others. Self evaluation enables the leader to develop and improve. A leader must therefore be prepared to analyse and assess their personal strengths and weaknesses, and the effectiveness of any actions they may have taken. This requires self awareness and objective self assessment. Leaders must evaluate their thought processes and emotions and their impact on others. The leader must reflect upon and evaluate their performance across the core competencies to enable improved effectiveness. This allows the leader identify where they need to develop and acknowledges the importance of continuous improvement and lifelong learning. A leader must also be capable of evaluating others; their behaviour, competence and performance. This is done in a formal way during performance appraisal and is a continuous aspect of leading. Evaluating others and providing honest and constructive feedback will enable others to develop and improve. Evaluation also involves evaluating the operational context, whether the resources available, operating constraints or geopolitical considerations.

### HISTORICAL VIGNETTE 6 NAPOLEAN BONEPARTE

*"To learn that Napoleon in 1796 with 20,000 men beat combined forces of 30,000 by something called economy of force or operating on interior lines is a waste of time. If you understand how a young unknown man inspired a half starved, ragged, bolshie crowd; how he filled their bellies; how he out marched, outwitted, out bluffed and defeated men who had studied war all their lives and waged it according to the textbooks of their time, you will have learnt something worth knowing."*

Archibald Percival Wavell

## Planning

A leader must be able to plan, prioritise and organise people and resources. Planning ensures preparedness, enabling the leader to provide direction thus increasing the follower's confidence. A leader who plans; acknowledges history and past experiences, identifies requirements, anticipates possibilities and effects of action, potential outcomes of inaction and builds in contingencies. A leader who fails to plan is unlikely to achieve the mission or to care for the personnel under his command. In other words: **'fail to plan, plan to fail'**. Without planning a leader will appear aimless, unprofessional and unable to meet deadlines or to respond to circumstances. Effective leaders plan for their own succession and for the development of their subordinates.

## Character and Competence - From Theory to Practice

Our Leadership Framework identifies character and competence as the essential components of a leader. In doing so, it sets out the theoretical concept of what a leader is. Leadership theory is often criticised for being too conceptual where it can be difficult for leaders to interpret theory and apply it meaningfully. For this reason a leader matrix is used to integrate the different aspects of our theoretical framework and show its application at the three levels of leadership. A generic leader matrix is shown at Figure 5.4. **It demonstrates in a practical way how a leader's character and competence interacts with the essential outcomes of influence, develop, evaluate and achieve, i.e. what the leader does.** The matrix is not prescriptive or exhaustive; rather it provides examples of how the framework can be applied in a leader's work and behaviour.

## Conclusion

This chapter outlined character and competence as the central elements of our leadership framework. The Defence Forces leader is one of character and competence where the character (values and attributes) and competencies are inherent in what the leader is and what the leader does. Individual and collective development of character and competence is a lifelong process and will lead to the overall development and improvement of the Defence Forces. The following chapters engage directly with Defence Forces leadership application of character and competence at the tactical, operational and strategic levels.

**Figure 5.4 The Leader Matrix**

	INFLUENCE	DEVELOP	EVALUATE	ACHIEVE
<b>CHARACTER</b>				
<b>VALUES</b>	Sets example through personal values	Self awareness Ensure understanding of DF values	Consider extent to which values were maintained in action	Ensure action is aligned with DF Values
<b>ATTRIBUTES</b>				
Humility	Display self accountability	Appreciate subordinates potential	Openness to challenge	Maintains perspective on self
Resilience	Display persistence	Train robustly	Review level of robustness	Meet challenges
Drive	Set example of work ethic	Encourage others to self-motivate	Consider self-motivation	Maintain momentum
Cognitive Ability	Process information	Develop analytical skills	Review understanding	Adapt to changing situation
Emotional Intelligence	Manage relationships	Seek emotional awareness	Consider appropriateness of display	Manage emotions in self and others
Professional Knowledge	Display personal mastery	Seek to learn continuously	Identify knowledge gap	Meet professional standards
Vision	'Sell' the endstate	Develop belief in success	Consider impact and clarity	Ensure commitment to plan
<b>COMPETENCE</b>				
Innovating	Encourages initiative	Thinks 'outside the box'	Assess requirement for change	Maintains flexibility
Problem solving	Frame as challenge	Consider alternatives	Review method and solution	Identify solutions
Decision making	Make decisions	Encourage appropriate input	Review decision success	Enforce decision
Planning	Provide direction	Career Management	Assess plan strength	Implement plan
Directing	Provide clear instruction	Develop respect for authority	Evaluate impact	Seize opportunities
Communicating	Clearly articulate intent, mission and tasks	Listen actively	Elicit and provide feedback	Ensure shared understanding
Motivating	Encourage followers	Understand how to motivate	Review approach	Use appropriate approach
Teamwork	Demonstrate teamwork	Understand the team process. Challenge ineffective group norms Promote teamwork	Assess team effectiveness	Build effective team
Evaluating	Assess personal leadership	Assess skills deficit at personal and individual/team/ organisational levels	Monitor implementation of lessons learned	Implement lessons learned

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# LEADERSHIP AT THE TACTICAL LEVEL

*Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.*

## Introduction

Leadership succeeds when the leader effectively acts and applies character along with core competencies in mission success. The Defence Forces cannot 'head hunt' tactical, operational or strategic level leaders. Therefore it is a leadership imperative to develop subordinates to be the senior leaders of the future. **The four leader outcomes in our Leadership Framework are Influencing, Developing, Evaluating and Achieving.** Chapters 6, 7 and 8 explore these outcomes to examine the leadership challenges facing leaders at the tactical, operational and strategic levels. We begin with the tactical level, where Defence Forces leaders spend a considerable period of their careers in direct leadership roles. Tactical leadership is face-to-face, first line leadership exercised by officers, NCOs, men and women working in teams, sub-units, units, air and ship crews throughout the Defence Forces.

## INFLUENCE

Influence is critical to tactical level leadership. Influence refers to how people create and relay their messages, behaviours and attitudes to affect the intentions, beliefs, behaviours and attitudes of others. Influence is where leaders build positive relationships within an ethical organisational climate, gaining their followers willing support. Defence Forces leaders practice influence based on audience, objectives and expected reaction. Positive influence comes from leaders who do what is right for the Defence Forces, their units and each soldier. Negative influence emanates from leaders who focus on personal gain and their careers and who lack empathy.

Leaders influence through words and ideas but followers will identify with leaders in their deeds. Never underestimate leadership through example (Figure 6.1). Leaders, in their behaviour and professional standards influence others. **It's not good enough to talk the talk; you have to walk the walk.** Your attitude sets the tone and you exhibit your attitude task-to-task, day-to-day and even minute-to-minute remembering that optimism, a positive outlook, and a sense of humour are infectious. Influencing primarily involves communicating, decision making and motivating. A good



**Figure 6.1 Leadership through Example**

leader should ask questions: what's happening, what should be happening, why are these things happening and how do I influence in getting things happening?

### Influence - Communicating

Leaders keep their subordinates informed to convey intent, show trust, relieve stress and eliminate rumour. Without facts, their personnel will manufacture their own. In conflict, sometimes the plan falls apart because of the unexpected: the threat acts first, the leader is incapacitated, or simply put 'no plan survives contact'. If the leader has communicated the mission and the how and why a decision is made, a subordinate can take charge. **Practice mission command where subordinates act with minimum guidance.** Understand the commander's intent two levels up. **The success or failure of communication is a leader's responsibility.** Table 6.1 below outlines some techniques to keep people informed. Leaders should listen to the troops to hear if the information has reached them and is understood. They should hear the messages behind what a person is saying and read between the lines. Practice leadership by walking about. Get out, coach, listen, teach, and clarify; pass on what you learn to your superiors, they need to plan. Communication is not limited to your immediate superiors and subordinates.

**COMMUNICATION**

*"You must talk to your soldiers, not just in units, subunits or teams, but one to one. Take time, at least an hour a day, to really talk to soldiers, maybe ten a day. And at day's end, if you haven't done so, go to the TOC, workplaces, Gym, Mess, or Canteen and do so. And if it hasn't crossed your mind to do so or it doesn't appeal to you, you are not a leader".*

Communication Philosophy,  
105 Inf Bn, UNIFIL

TACTICAL LEVEL COMMUNICATION TECHNIQUES	
FORMAL	INFORMAL
Orders, Confirmation Briefs, Back briefs, Rehearsal of Operational Concepts (ROC) Drills	Social Occasions
Addresses, Talks to Troops	Refreshment Breaks
Face-to-face Meetings	Active Listening
Notice Boards	Personal Accessibility
Open Door Policy	Transparency

**Table 6.1 Tactical Level Communications**

### Influence - Decision Making

Decision making is knowing whether to decide, then when and what to decide. It includes understanding the consequences of your decisions. Defence Forces tactical leaders follow two primary decision making processes. NCOs and Officers at company or equivalent level and below follow the Troop Leading Planning Process. Leaders at battalion or equivalent level and above follow the Military Decision Making Process. These proven methodologies achieve parallel decision making and planning. Every once in a while, you may come across a decision that is easy to make: yes or no; right or left or on or off. But there will always be difficult decisions that require imagination, rigorous thinking and analysis. Follow the steps and take into account your knowledge, intuition and sound judgment. Intuition tells you what feels right; it comes from accumulated experience or 'gut feeling'. **Do not rely on experience and gut feeling or intuition alone.** Take advice and do your homework. Get the facts and generate alternatives; analyse and compare as time allows; then make your decision and act. Any decision you make must reflect the DF values. Chapter 4 discussed ethical problem solving.

Leaders make decisions when they determine what is important and what takes priority. If they give their subordinates a list of tasks and say 'they are all important', they may be saying something about urgency, but the message they may send is that they cannot prioritize or make a decision. Remember sometimes all Courses of Action may appear good (or bad), that any decision may be right (or wrong), but that decision making involves judgement and knowing when to decide. Things left to themselves generally go from bad to worse and in the absence of a clear priority, you must

set one; you cannot make progress without decisions. **The act of looking a subordinate in the eye and telling him your decision is a hallmark of leadership.**

### **Influence - Motivating**

**People are our most important resource; they are our 'credentials'.**

Part of knowing how to understand this most precious resource is knowing what motivates them. Motivation will ultimately spring from a person's faith in his unit and its culture and climate, a sense of belonging and their personal needs. Climate affects motivation and trust.

**Trust, like loyalty, is a gift your soldiers give you when you demonstrate you deserve it.**

Soldiers have needs; they want to be recognised for their work, they want to be empowered and trusted with responsibility. Motivation also grows out of people's confidence in themselves, their unit and their leaders. Individuals and units should

train and develop their personnel to increase confidence and self-esteem and outline clearly that their part in the plan 'matters.' This confidence and self-esteem are born in hard, fair and realistic training; it is nurtured by discipline, good morale, taking care of your personnel and constant reinforcement through consistent and sound leadership in a positive climate.

### **Influence - A Positive Climate**

Climate is how members feel about their unit and comes from shared perceptions and attitudes about the unit's daily functioning, including on discipline, morale and how they are looked after. Discipline is not just barking orders and demanding an instant response. Commanders discipline by training to a standard, using rewards and corrective action with judgement, instilling confidence and trust among unit members and creating a collective will. **Morale is the most important intangible human dimension, and holds the team together when dispiriting things happen.** Poor discipline and

#### HISTORICAL VIGNETTE 7 'OPERATION SEABIGHT'

*On the evening of 05 Nov 2008 I was tasked with planning and directing what remains to date the largest interdiction of cocaine at sea in Europe. As the vessel of interest approached Irish waters the key JTF members were present in the Ops Room in the Naval Base. 130 nautical miles off the South West Coast*



*of Ireland LE Niamh and LE Róisín were covertly monitoring and closing in on the unsuspecting yacht. Darkness had fallen and the weather was deteriorating rapidly. We would soon be at the outer limit of acceptance for safe boarding operations. The intelligence picture was updated with the unexpected news that the yacht was not in fact UK registered. This fundamentally changed the legal aspect of the operation. I was left with the option of boarding a Stateless vessel on the High Seas. The LEs Niamh and Róisín reported that they were in position. I remained fully aware that the responsibility to conduct interdiction operations rested with me and conscious of placing boarding teams in harm's way. My commitment to protecting Ireland in the war on narcotic smuggling was forefront in my mind. Relying on my professional experience, my reading of the evolving situation, my faith in the training and commitment of the personnel at sea and completely accepting that the responsibility was mine; I ordered OC LE Niamh to board the yacht 'Dances with Waves'.*

Commander Eugene P. Ryan MNI (NS)  
Commander Fleet Ops 'Operation Seabight'

#### SCHOFIELD'S DEFINITION OF DISCIPLINE

*The discipline which makes the soldiers of a free country reliable in battle is not to be gained by harsh or tyrannical treatment. On the contrary, such treatment is far more likely to destroy than to make an army. It is possible to impart instruction and to give commands in such a manner and such a tone of voice to inspire in the soldier no feeling but an intense desire to obey, while the opposite manner and tone of voice cannot fail to excite strong resentment and a desire to disobey. The one mode or the other of dealing with subordinates springs from a corresponding spirit in the breast of the commander. He who feels the respect which is due to others cannot fail to inspire in them regard for himself, while he who feels, and hence manifests, disrespect toward others, especially his inferiors, cannot fail to inspire hatred against himself."*

Maj Gen John M. Schofield, US Military Academy,  
Aug 11. 1879



morale can impact on each other and affect climate. The answer to this potential conflict is how leaders take care of their people. Taking care of your people means creating a disciplined environment where people learn and grow. It also means holding personnel to high standards and training them to do their jobs by treating them fairly, refusing to cut corners, sharing hardships and setting example. This encompasses ensuring that they are operationally ready and to providing personal and family support. It also means demanding that they do their duty when their lives are at risk. It doesn't mean 'molly coddling' them or making training easy and comfortable. Training must be rigorous and as much like combat as possible while being safe, fair and true to the organisation's values.

Good leaders establish a climate characterised as fair, inclusive and ethical. If they set a positive climate their personnel will respond in kind. To be fair means the leadership decisions must be applied consistently and free from bias. Inclusive means that they integrate everyone while ethical means that actions conform to the Defence Forces Values. Fair leaders prevent the arbitrary treatment of others. An inclusive climate acknowledges gender and diversity. Leaders 'lead' dignity in the workplace. Tactical leaders, more than most, are responsible for preventing bullying and harassment and applying equal opportunity policies. **A culture of bullying and all its forms represent an absolute systemic failure in leadership.** Approachable leaders encourage open communications and recognise alternative and critical viewpoints to prevent groupthink. A good officer will listen to a good NCO.

**Ethical leaders do the right things.** Leaders are the ethical standard bearers for the organisation. They can look to other organisational personnel, PSS, Chaplaincy, Legal Service or mentor in building their ethical climate, but the responsibility remains theirs. Many view leadership by default as only positive actions. However, some leaders use inappropriate actions to obtain immediate results and a mindless adherence to orders without concern for others. Selfish, toxic and abusive leaders intimidate and ignore ideas from others, micromanage, hoard information, undermine peers and work only to impress their superiors. **'A positive climate can be smelt in the air'**. So, maintain a feel for the unit's ethical climate, identify the presence and effects of behaviours that contribute to a positive and negative climate. This table outlines areas that affect climate.

CLIMATE AREAS <sup>31</sup>	
Esprit de Corps	The Leader's Personal Behaviour
Officer Leadership	Quality of Training
NCO Leadership	Unit Cohesiveness
Promotion Policy	Social Activities including Sport
Job Satisfaction	Morale and Personnel Relations
Rewards and Corrective Action	Soldier Attitudes and Initiative
Dignity and Inclusiveness	Equipment and Supplies
Military Discipline and Respect	Zero Tolerance of Substance Abuse

**Table 6.2 Climate Areas**

Operations, exercises and less formal environments such as sports, open days and social events provide leaders with opportunities to identify the needs of their personnel. Leaders, despite their age or background, must engage with their personnel, establish common interests and understand their motivations. However, retain a professional distance and avoid over familiarisation to preserve discipline and the chain of command. In managing expectations, balancing the needs of an individual and organisation is a challenge. In making decisions that affect individuals, assess the potential outcome on others. **Be fair to the individual, the unit and to the organisation.**

### **Influence - Acknowledgement**

Leaders acknowledge subordinates when they give credit from a simple 'thank you', a pat on the back or with a formal word. **Don't underestimate the power of a few words.** When using rewards: consult the leadership, choose one valued by the person, present at a ceremony, give

promptly, praise honest effort, acknowledge people who get the job done and who influence others. Napoleon said that if he had enough medals and ribbons he could rule the world. When using corrective action as motivation: use sound judgement, avoid threatening an individual or group with corrective action, and let the subordinate know that it is the behaviour not the individual that is the problem, retrain a person unable to complete a task and respond to undesirable behaviour and investigate fully. Finally, take corrective action in accordance with military codes of practice.<sup>32</sup> Never humiliate, avoid public reprimand, control your temper and hold no grudges. Good leaders look for opportunities to develop subordinates, even the bad ones, and never forget that their people are still the most important resource.

#### HISTORICAL VIGNETTE 8

Sgt Jim O'Neill (Retd),  
Student Air Corps Standard Course 2002

*While undergoing a route March in the vicinity of spot height 511 between Round Hill and Stranahely Woods a course student collapsed and became ill within moments. Sgt O'Neill (another course student) utilising his skill as an EMT and experience in Search and Rescue, immediately recognised the serious condition of the casualty. Sgt O'Neill requested medevac, organised an improvised stretcher utilising rifles and a poncho, handpicked a stretcher party and together with his teammates carried the casualty out of poor weather to lower ground. Enroute to the LZ that he selected, Sgt O'Neill resuscitated the casualty on three occasions while re-assuring and motivating his fellow team members, who were less experienced in these situations, to persevere with the difficult descent. Sgt O'Neill accompanied the casualty to Tallaght Hospital where he later made a full recovery. Every team member had complete trust in Sgt O'Neill who demonstrated professionalism, determination and resilience.*

Reported by Comdt Gary Gartland OC MTS and  
Sgt McCarthy. J Course DS

#### **Influence - Initiative and Empowerment**

**Unit climate determines the degree to which initiative is encouraged and exercised by subordinates.** Soldiers not in leadership positions may be reluctant to accept responsibility. Others want to be recognised for what they do and to be empowered. You empower subordinates when you train them to do a job, give them the resources and authority, allow initiative, get out of their way and let them work. Not only is this a statement of trust; it is the best way to develop leaders. Talk to your troops: find out what's important to them, what they want to accomplish, what their goals are, and agree their needs. Listen carefully to what they mean, not just to what they say. **Remember what's under the iceberg (Ref. Chapter 4).** Use their feedback, good and bad and if you change something because of a subordinate's suggestion, let everyone know where the idea originated.

#### **Influence - Non Military Actors**

Tactical level leaders must influence beyond the chain of command. They may have to work with government and local authorities, multinational forces and outside agencies, and interface with political leaders, security forces, NGOs and educational institutions in Aid to Civil Power / Aid To Civil Authority and overseas operations. Leaders do so without the positional power implied by rank and rely on personal power to build teams to achieve tasks. It is expected that leaders will be flexible in their work and influence in providing leadership and initiative that best represents the Defence Forces.

TACTICAL LEVEL INFLUENCE TECHNIQUES				
Pressure	Legitimate Requests	Exchange	Personal Appeals	Collaboration
Rational Persuasion	Appraising	Inspiration	Participation	Relationship Building

**Table 6.3 Tactical Level Influence**

## Influence - Being open as a Leader

Significant emphasis is placed on how the leader influences their subordinates. The ability to be influenced is itself also a key strength of an effective leader. This goes to the centre of the command and staff process. **A leader who is unwilling to listen makes subordinates redundant and a leader not open to influence is limiting the scope of his experiences and knowledge.**

## DEVELOP

Tactical leaders have a responsibility to act, not just to complete the task or mission, but also to develop the team or unit. Leaders should have a developmental philosophy focussed on four pillars: self-development, developing the team, institutional training and operational assignments. The driving principle behind leader development is leader preparedness before assuming leadership positions. The General Staff and senior NCOs of the future are already in the organisation as junior officers and NCOs. **Tactical leaders must develop others, encourage others and train leaders to be the leaders they deserve to be.**

## Develop - A Learning Organisation

Leaders, who make it a priority to develop their personnel and the way teams work, lead a learning organisation, where lifelong learning is part of the ethos and culture. Learning organisations harness the experience of its people to improve the way they operate and create a climate where opportunities for training and education are identified and supported. They adopt new techniques and procedures to operate more effectively, discarding those that have outlived their purpose. Leaders cannot be afraid to challenge how organisations operate. When leaders question **'why do we do it this way'** and find out the only reason is, **'because we've always done it that way'**, it is time for a closer look at this process.

*A learning organisation is one skilled at creating, acquiring, interpreting, transferring and retaining knowledge, and at purposefully modifying its behaviour to reflect new knowledge and insight.*

David A. Gavin, 2000.

## Develop - Self-Development

**Lifelong learning is the choice to actively pursue knowledge to progress beyond a known state of competency.** "The primary function of training and education in the Defence Forces is to develop and maintain capabilities. Training is for predictable events but education is required to adapt to unpredictability."<sup>33</sup> The nurturing of an ethos of continuous professional development commences at the tactical level. Defence Forces induction training, specialist training and career courses provide a strong platform for this growth but leaders must accept individual responsibility to maintain and develop their professional knowledge. Leaders should study leadership, management and military history. Effective self-development focuses on character, knowledge and capabilities that need improving. Use the Leadership Framework to determine areas to work on.

Self-development is a joint effort involving you and your commander. Together you should establish plans to meet your needs. With subordinates, you should monitor how they act on these plans; give advice, encouragement and time. Self-development for junior leaders is normally structured and narrow in focus. The focus broadens as individuals learn their strengths, determine needs and become independent. Everyone's knowledge and perspective increases with age and experience. In committing to lifelong learning it is vital to develop beyond what is offered in formal education and training; look for civilian education to develop skills. **Leaders should broaden their outlook, challenge themselves, use initiative and develop a strategic view.**

*"I am very interested in the future ... , because I will spend the rest of my life there."*

Charles Kettering (Inventor)

## Develop – Self Awareness

Self-awareness, as part of emotional intelligence, enables leaders to recognise and appreciate their strengths, weaknesses and understand habits, emotions and behaviour. While a leader can be

competent, **a lack of self-awareness can be seen as arrogant and disconnected and is apparent in a low capacity to interact with others.** This obstructs learning and adaptability, which will inhibit the leader in creating a positive climate. In developing self-awareness, leaders will identify weaknesses but should not be discouraged by this realisation, nor become too self-critical or negative. A leader with an honest and reflective picture of their own strengths, weaknesses and capabilities can develop a sense of self-confidence and ways to cope and address these. Rest, health and a balanced lifestyle enhance perspective, judgment and effectiveness. The Defence Forces demands commitment but is mindful of work life balance. The leader who is clear minded and grounded will make correct decisions. They should check periodically to ensure that there is balance.



### Develop - Mission Command; a tool for Self-development

Mission Command is a philosophy where personnel are told what needs to be achieved and why but not how. This affords the tactical leader the opportunity to develop self, others and teams, make mistakes and learn. Under mission command, leaders must understand the influence, positive or negative, that their actions will have in achieving objectives. Table 6.4 highlights the opportunities and advantages of mission command as a philosophy for the tactical leader.

MISSION COMMAND – TACTICAL LEVEL LEADER	
OPPORTUNITIES	ADVANTAGES
Develop solutions to issues	Encourages initiative
Develop competence and confidence	Avoids 'micro' managing
Develop responsibility for a task	Maximises potential
Develop guidance to the team	Facilitates better outcomes
Develop ability to allocate resources	Provides learning through experience
Develop ability to supervise	Sustains unity of effort

**Table 6.4 Tactical Level Mission Command**

### Develop - Leading Teams

Teams and teamwork are the basic building blocks within any military organisation and effective teamwork is crucial to mission success. This is true whether leading a section on patrol overseas, a crew at sea, leading a crew on an aircraft or leading a staff. As a result it is vital that leaders at all levels have at least a well developed understanding of team dynamics and processes. The leader must understand team processes in order to firstly build the team then influence the team, develop the team, achieve the team's mission and evaluate the team's performance with a view to developing overall team effectiveness

### Develop - The Team

Develop trust, cohesion and accountability as measures of teamwork. Teamwork, in commitment to a group, purpose and goals, is built on selfless service and Esprit de Corps. Trust means that others will act for the team and keep team interests ahead of their own. Integrate team members with this in mind. A cohesive team accomplishes the mission more effectively than a group of individuals. Training builds collective competence; trust, cohesion and accountability are products of that competence. **Successful teams have an optimistic outlook; their attitudes are infectious and they see opportunities.** Positive climates exist where good and consistent performances are the norm. This differs from where perfection is the expectation. Setbacks occur whether the team does everything right or wrong. Good leaders express the importance of competence but

understand weaknesses exist. The leader must recognise and compensate for team member weaknesses through the recognition and use of their strengths in other areas. They gain confidence in leaders who help them achieve standards and lose confidence in those who do not. **Leaders appreciate honest effort, soldiers expect realistic standards.**

PRIMARY TEAM BUILDING PHASES <sup>34</sup>		
PHASE	INDIVIDUAL CHALLENGE	LEADER / UNIT CHALLENGE
FORMATION	Develop personal goals Develop relationship with team members and leader(s) Develop preparedness Develop personal coping skills  <i>Become a team member</i>	Establish standards from beginning Establish positive climate Establish sense of belonging Acknowledge positive contributions Listen and communicate to individual team members and to the team  <i>Become a team</i>
CONSOLIDATION	Develop personal friendships Develop trust in the team Develop trust in the leader(s) Develop acceptance of: <ul style="list-style-type: none"> <li>▪ How the team works</li> <li>▪ How things are done</li> <li>▪ Who is in charge</li> </ul> Develop and demonstrate competence/develop skills to minimise risk to self and team  <i>Become aware and ready</i>	Encourage and facilitate, individual and team growth Encourage, listen and underpin trust Encourage self and team evaluation Encourage potential leader(s) Establish clear lines of authority Establish individual and team goals Establish team pride through accomplishment Establish positive and stable team climate  <i>Become aware and ready</i>
SUSTAINMENT	Be aware of your emotions Be ready to adjust to change Be willing to share ideas Be flexible and adaptable Be ready to assist others Be aware of and avoid: <ul style="list-style-type: none"> <li>▪ Monotony</li> <li>▪ Rumour</li> <li>▪ Distrust</li> </ul> <i>Be a team member With a mission and values.</i>	Communicate with the team Monitor and sustain readiness Monitor and enforce discipline Know your team and their problems Continuously evaluate the team Strengthen the team through: <ul style="list-style-type: none"> <li>▪ Teamwork</li> <li>▪ Productivity</li> <li>▪ Training</li> <li>▪ Sport and social activities</li> </ul> <i>Be a team With a mission and values</i>

**Table 6.5 Primary Team Building Phases**

### Develop -Team Building

Teams do not come together by accident. The leader and team members begin as depicted in Table 6.5 in the **formation phase** with the realisation that teams **‘don’t just happen’**. The leader’s job is to make use of the unique talents of a particular team or unit in order to enable team achievement. The new member’s reception and orientation creates a first impression that can shape the opinion of the team forever. While reception is the leader’s welcome, orientation begins with meeting others and getting to know the workplace and lay of the land. In conflict, this ‘sponsorship process’ can mean life or death. In the **consolidation phase** new members and teams move from questioning everything to trusting themselves, their peers and leaders. Leaders earn trust by listening, establishing lines of authority, setting standards and following up. Set training goals to get the team ready. Involve their subordinates in realistic, challenging and attainable goal setting; and make best use of their talents. When the team reaches the **sustainment phase**, its members think of the team as ‘their team’, they own and have pride in it, want the team to succeed and will do what needs to be done without being told. Every mission is a chance to make the bonds stronger and a challenge for the team to reach new heights.



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## Develop - Increasing Team Effectiveness

Team leadership functions are commonly categorised as task functions and relational functions. Task functions relate to aspects such as achieving the mission and relational functions relate to aspects such as the atmosphere within the team, developing and maintaining trust, and interpersonal relationships. Team leaders must master both functions in order to build truly effective teams. A number of factors can help to increase the effectiveness of the team and the leader has a key role in each. Some are aligned to task functions and some to relational functions.

**Task Functions:** A team's effectiveness can be improved by the leader through the following:

- Emphasising Defence Forces ethos and values
- Clarifying the goals of the team
- Clarifying members roles to ensure co-ordination
- Implementing a structure for effective communications
- Ensuring the team has the resources to perform its task
- Clarifying and enforcing the required standards.

**Relational Functions:** Team relationships can be improved by the leader through the following:

- Emphasising Defence Forces values and setting the example
- Managing conflict and disagreement
- Building cohesiveness and Esprit de Corps. Cohesiveness is the 'we' feeling that develops within teams during development. Cohesiveness helps to engender the Defence Forces values of selflessness and loyalty. It improves morale and enhances team performance. A number of tools can be used to develop cohesiveness in teams including stressing common values, team interaction or healthy competition with other teams
- Developing trust will result in the team being less likely to question authority and more willing to work beyond the minimum for each other.

Developing teams takes work and patience but it is a worthwhile investment. You may ask your personnel for extraordinary effort someday and people can do extraordinary things for their comrades and leaders. Build a sense of belongingness, observe, counsel and listen: **you must be every bit the team player you want your subordinates to be and more.**

## Develop - Institutional Training, Operational Assignments, Experience and Wisdom

The Defence Forces Colleges and Schools system provides formal education and training in leadership. This is progressive and you can expect to go out and use your skills in an appointment before the next level of schooling. When you take what you learned into the workplace, you continue to learn through experiential learning, by watching your commanders, peers and subordinates. You gain experience by performing a range of duties in changing situations. Operational assignments overseas, on medevac emergency standby or patrolling at sea all provide a powerful resource and opportunity **'to learn by doing'**. Leaders aid experiential learning by creating opportunities through planning a career path of appointments which develop the required profile of knowledge. Experience with education and training are the constituent elements of wisdom. Wisdom is the capacity to understand the facts of a situation, their inter-relationship and the ability to apply that understanding. Experience, education and training equal wisdom, which supports judgement.

## EVALUATE

Evaluation is a continuous process with broad application within the Leadership Framework. It is undertaken by the individual from induction to retirement and by units from form up, in training, on tasks and missions, right through to the After Action Review. The ability to evaluate a situation accurately against desired outcomes, values, and ethical standards is a critical tool for leaders to achieve consistent results and mission success. Evaluation occurs continually during planning, preparation, training and execution; it is not solely an after the fact evaluation. It requires instinct and



intuition based on experience and learning and a feel for information and sources. Evaluation determines organisational weaknesses and prevents mishaps. Accurately determining cause and effect is essential to training management and developing leadership. Thorough evaluation will enable the tactical leader to task personnel appropriately in operations at home and overseas. **Most importantly you must evaluate yourself and those within your sphere of influence.**

#### LEARNING FROM EXPERIENCE

*You must declare yourself to be a learner during your working hours as well as a doer. After that, you must pay attention to the teacher – experience itself. Once we pay these dues, the subordinate will teach us how to manage, the followers will teach us how to lead, and every project will teach us how to optimise work. The seminar experience has an open door policy; you can enter and exit when you choose. When you enter and pay attention the learning process begins. You start at your present understanding and move at your own pace. If you get too involved in the drama of work that you forget you are a student, the seminar goes on without you.*

Gallwey, 2000.

#### Evaluate - Self and Others

Performance management, evaluation and appraisal are a crucial part of the Human Resource Management cycle. Leaders seek to accurately evaluate individual performance; inform and promote potential for development; set targets and goals, and plan for personnel placement in the most appropriate appointments. Self-evaluation is central to self-awareness and development. **Tactical leaders must be positive towards feedback from superiors, peers and subordinates.** Feedback can be part of formal evaluations such as appraisal, peer reviews or After Action Review but can also arise from day to day informal interactions. This can be challenging to the leader but they are learning opportunities. The leader committed to meaningful self-evaluation and who considers personal actions in a critical and honest manner, encourages an open minded approach in others. In evaluating others, leaders must provide quality performance appraisal that is constructive, accurate, honest, realistic and well delivered. It has many benefits for the individual, the team and ultimately the organisation. Training diaries provide a basis for accurate and verifiable appraisal.

#### Evaluate - Performance

Regular and demanding DFHQ, Formation and Service level inspections set the tone for evaluating performance. Tactical leaders at the outset should conduct a detailed initial assessment of their teams, sub units or units when taking over an appointment; watch how people operate and interact, develop a sense of unit climate, meet with the outgoing leader and listen to their assessment. Don't take it as absolute fact; everyone sees things through filters. Review Orders, SOPs, status reports, inspection results, disciplinary and grievance records and ensure the unit is meeting standards and goals. Good leaders supervise, inspect and correct subordinates; they praise good performance and fix poor performance. Some assessments they make themselves, some involve subordinates; obtaining feedback from subordinates becomes important as the leaders span of authority increases.

#### EVALUATING YOUR UNIT

- Question how to perform tasks better;
- Anticipate the need for change;
- Determine how to effect end states;
- Identify and improve unit procedures;
- Consider information and communication technologies;
- Encourage creative thinking from others.

Two techniques that involve your subordinates in assessing are: In Process Review and After Action Reviews. A successful early evaluation begins with forming a picture of performance through an In Process Review. Identify key people inside and outside the organisation but ensure to **look at yourself and put your own house in order.** After Action Reviews fill a similar role at the end of the task. The Defence Forces has established a formal system of 'Lessons Identified and Lessons Learnt' and post operation, training and exercise reviews are established practices. Leaders engage fully and set the tone for this process by creating an atmosphere where personnel can speak openly and honestly without fear. Leaders and subordinates should have a sense of self security to acknowledge mistakes. Use After Action Reviews to develop subordinates and teach them to look

past a problem's symptoms to its root cause and give constructive feedback: **'here is what we did well; here is what we can do better.'**

When subordinates share in identifying reasons for success and failure they become stakeholders in how things get done. Leaders base reviews on accurate observations and correct recording of those observations. If they are participating in or evaluating a field exercise they must take good notes. They should look at things in a systematic way, go on the ground and see things first hand. They don't neglect tasks that require subjective judgment: evaluate cohesion, discipline and morale. **Leaders encourage reflection.** In evaluating performance, they should encourage a developmental mindset that goes beyond conformity and meeting standards. Too often, leaders discourage ideas from subordinates. This can be perceived as being close minded, stubborn and lacking insight. Phrases like **'we have tried that before, there is no budget for that, you have misunderstood my request and don't rock the boat,'** all kill initiative.

#### HISTORICAL VIGNETTE 9

The Day that the Tank came calling...

Lt Anthony Bracken, Recce Sec Comd, C Coy, 46 Irishbatt, UNIFIL, 1979/1980

*Following the helter-skelter dash to At-Tiri on Sunday afternoon and the tense beginnings of the incident a relative calm ensued over the first twenty-four hours. Cpl Cyril Henry, Trooper Paddy Moore and I settled into a routine to man the AML 90. Having slept in the car the first night we all agreed that unless this uncomfortable practice was absolutely necessary it had to cease...and then Sherman came calling.*

*The DFF (De-facto Forces) were equipped with US Sherman Tanks, known as 'Super Shermans' being modified versions of the original M4 design. Weighing in at just over thirty tons and armed with a 76mm Main Gun accompanied by a .5in HMG and two .30in machine guns, the tank was a resilient warrior in the Middle-East, seeing service with the Israeli Defence Forces for over thirty years since the 1950's.*

*To put it mildly no member of Recce Section, C Coy, 46 IRISHBATT UNIFIL would have predicted such a close encounter with one of these behemoths but then the incident at At-Tiri was proving to be anything but ordinary. Waking up on Monday morning 07 April 1980 to a trundling hulk placing itself no more than ten metres or so from our 90mm Cannon was an interesting experience. I told Cyril to lay the battle-range mark on his gun sight on the turret race of the Sherman and I then brought a HEAT round from the carousel into the breach holding it on the chock release mechanism. Looking across at Cyril with both of us thinking the improbable, I often wondered what Paddy Moore was thinking at that juncture as he crouched in the driver's seat facing his counterpart in the tank.*

*Both barrels were trained on each other for a day. It was highly improbable that if either or both vehicles fired that the rounds would have had enough range to do more than cursory damage and cause large headaches for the crews...at least that is what my AML 90 crew, myself included, chose to believe.*

*Day two of Sherman's visit saw the welcome sight of the main armament elevated above its head-on aim and so we reciprocated. I am sure that the tank crew were as relieved as we were, and I know that the check-point infantry who had borne witness to this strange stand-off were likely happier as well.*

*The following early morning Sherman trundled off down the road to Kunin Crossroads much as he had trundled in, never to be seen again. Perhaps that crew returned to their battle position at the Brown Mound and could well have been involved in direct strikes onto the Platoon HQ the following Saturday, thereby bringing Comdt Taylor's, Company Commander C Coy 46 Inf Bn, wrath down upon them in the form of two Dutch TOW missiles. The tanks of the DFF were to remain silent for the remainder of our tour of duty.*

*Whatever the final story it was an intriguing visitation, initially frightening, then worrying and finally curious. Thank God neither of us had to open fire...as Irish soldiers we would have rapidly found out if the 15mm of French hardened steel at the front of the AML 90 was up to the task.*

Colonel Anthony Bracken BMC. For his later actions at At-Tiri he was awarded the Military Medal for Gallantry (An Bonn Mileata Calmachta), with distinction.

### Evaluate - Critical Thinking

Critical thinking demands an understanding of the issue and an ability to filter information. It is about logical, reasoned thinking, free of bias that allows the leader get to the root of complex issues. Advocates of transformational leadership suggest that this style of leadership encourages thinking. Leaders must also think critically about how they lead and determine their leadership philosophy.

This brings consistency to their leadership style. Critical thinking enables leaders to ask the right questions of subordinates that challenge them to conduct their own evaluation and question the 'status quo'. Effective leaders demonstrate an open mind as opposed to a problem solving mentality which is more narrowly focused. **They welcome new ways of looking at things and examine what is going well and not so well and actively seek the unknown.** The leader who critically evaluates his own leadership may think about his own individual leadership philosophy under some or all of the headings depicted in Table 6.6. An essential element of any leadership philosophy or style is that there is no room for a 'zero defects' mentality in a leadership culture or in a learning organisation. Accept that when people do difficult jobs under pressure, there may be mistakes. When leaders stop receiving feedback from subordinates something is wrong. And if you 'shoot the messenger' and lose your temper when you hear bad news, your people will stop telling you anything and there will be unpleasant surprises. Nevertheless beware when you are told that there is 'a bit of a problem'.

AN INDIVIDUAL LEADERSHIP PHILOSOPHY - CONSIDERATIONS <sup>35</sup>	
Personal	Task
Maintaining values	What is the purpose
Managing priorities, managing change	Who is it for
How will you develop your subordinates	What does it cover
How will you manage expectation	What assumptions do you make
How subordinates communicate with you	How long should it be
What is your method of operation	What format is required

**Table 6.6 Individual Leadership Philosophy**

### Evaluate - Counselling, Coaching and Mentoring

Leaders provide knowledge and feedback through counselling, coaching and mentoring. Feedback starts with observation and an accurate evaluation of performance. Keep notes when tracking multiple subordinates; set priorities to balance short term readiness with long term leader development and give subordinates opportunities while guiding them without micromanaging. Counselling, coaching and mentoring are demanding and may be inconsistent in practice, but the Defence Forces depends on it. **Success and failure in an organisation can be traced to how seriously those in charge develop leaders.** It is critical to develop inquisitive leaders that respond to change. Competent leaders trained to meet future challenges will be your legacy. Chapter 4 defines and Chapter 9 expands further on Coaching and Mentoring.

### ACHIEVE

Achieving means accomplishing the mission to standard and on time while taking care of your people. Achieving is the output of Influencing, Developing and Evaluating. Achieving focuses on what to do to get consistent results and includes: planning; providing direction and guidance on what needs to be done and how; setting clear priorities; managing change; negotiating, building consensus and resolving conflict; managing resources; maintaining standards and creating a culture of achievement.

### Achieve - Planning

A plan is a proposal for executing a decision, project or solving a problem. Planning reduces confusion, builds confidence and enables success while minimising risk. Planning begins with a mission, specified or implied. An implied mission results when the leader sees something that needs to be done and, on their own initiative, develops a plan. Mission command implies this. **A problem exists when the leader is not satisfied with the way things are or the direction they are going.** When they begin with a goal in mind, they may use the reverse planning method. Start with the end state, state the problem and work backward to 'we are here now.' Determine the requirements: who, what, when, where and why. Consider how to

*... You must have a plan or contingency for leading change. (or it might lead you).*

accomplish the task, though the 'how' is not included in a mission. Put the tasks in sequence, prioritise and determine a time and schedule. A good leader gets input from subordinates. Inputs act as a check on their plan and gets people involved. Involvement builds the will to succeed.

While leaders plan subordinates prepare, issue notice of the mission, rehearse, inspect, equip and move. Preparation includes coordinating with people and organisations involved in or affected by the operation and arranging facilities and resources. Rehearsing key actions builds confidence in the plan. **Practice visualising or mental imaging; how things might happen, what might go wrong, the need to build contingencies and what may have been omitted.** A walk through helps visualise who is supposed to be where, do what and when. Make your commander's job easy, just as you allow your subordinates do their jobs. **Ask only for decisions that fall outside your authority, not those you want to avoid.** Forward only problems you cannot fix, not those whose solutions are just difficult. Ask for advice from others with experience. Exercise disciplined initiative within your commander's intent.

### **Achieve - Providing Direction, Guidance and Priorities**

Informal day-to-day tasks may not be accompanied by a mission statement or orders but the formal military process does apply. Leaders communicate what is to be achieved, prioritise and provide direction and guidance. Effective leaders make thoughtful tradeoffs between providing too much or too little guidance. Adaptive leaders identify and account for the capabilities of the team and task accordingly. Leaders ensure they and their subordinate leaders are doing the right things. A company commander doesn't do a platoon commander's job and a pilot doesn't do a ground technician's job. Good communications

resolves these conflicts early. Good guidance depends on understanding how tasks are progressing, to know when to provide clarification. Most workers want to demonstrate competence; do not reduce this drive. There can be many challenges in achieving including shortage of time and resources, complexity and resistance to change. **The leader moves past obstacles by remaining positive, resilient, staying engaged and solution focused.** Negativity undermines success.

### **Achieve - Adapting to Change**

Realistic leaders keep in mind that the flux, 'fog of war', friction and uncertainty affect plans. With situational awareness, leaders recognise when the situation has changed or when the plan is not achieving the desired outcomes. Leaders must have confidence and resilience to fight through setbacks, staying focused on the mission and the intent two levels up. With significant change, leaders will consider options for proceeding, including a review of contingencies developed, to address new circumstances. Unanticipated obstacles require adjustments. In complex circumstances, leaders need to provide a certain environment in which subordinates can accomplish critical tasks. Leaders must ensure additional or altered tasks are within the capabilities of the team or unit. If not, the leader seeks relief by going to superiors and clarifying the workload impact. **Experienced leaders anticipate cyclical workloads and schedule accordingly.** Competent leaders will make decisions about when to push or ease back and when to narrow focus on the vital tasks.

### **Achieve - Discipline and Standards**

Leaders set and maintain standards. Discipline including obedience, time keeping and turn out instilled in induction training is critical in transitioning to military life. Discipline manifests itself in

#### HISTORICAL VIGNETTE 10

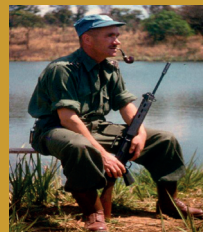
*On St. Patrick's Day 2004, widespread inter-ethnic rioting erupted in KOSOVO. My platoon found ourselves on the front line and isolated from other KFOR troops for up to 12 hours. EU security and police forces were deployed to assist us and as the only KFOR military commander, they all sought my direction. The physical and moral courage, espoused in the Defence Forces Values, demonstrated by each platoon member in this highly volatile environment was exemplary. This experience demonstrated the confidence we can take from our training. The overall success of the mission rests with the conduct, calibre and influence of the NCOs on the ground. Their discipline and mindset throughout set the standard and ensured the best from the troops.*

Lt Ed Holland, Pl Comd, 27 Inf Gp, KFOR



HISTORICAL VIGNETTE 11  
COMMANDANT PAT QUINLAN, COY COMD,  
'A' Coy, 35 BATTALION, ONUC, September 1961

*During training, I felt that Comdt Quinlan was particularly hard on the Platoon Commanders. Nothing was ever good enough. He set extremely high standards which we consistently struggled to achieve. We questioned his leadership and in particular his detached approach to commanding the company, however, during the events, which unfolded in Jadotville, our opinions of [him] changed. His presence and influence could be felt across the entire position ..., encouraging, motivating and reassuring every man. He demonstrated tremendous courage ... incredible foresight in preparing us for the events which unfolded in Jadotville. It was his insistence on high standards which prepared us for the events which occurred and kept the men in his company alive.*



Lt Noel Carey, Pl Comd, A Coy

Context: 'A' Coy consisted of 155 soldiers and at Jadotville they faced an attacking force of some 3,000. The Irish company sustained injuries to 5 of its personnel while the attacking force reportedly had some 330 killed and approximately between 300 and 1,000 injured.

many guises such as adherence to pre flight safety checks; crew drills at sea or checks on a vehicle before driving. Standards, including SOPs, are formal detailed instructions that can be stated, measured and achieved. They provide a performance baseline to evaluate how well a task has been executed. Leaders conduct individual and team training to achieve standards. Training must be robust both physically and psychologically, and evaluated realistically. Compromise may jeopardise safety and operational effectiveness. Leaders must know, communicate and enforce standards. **Give subordinates the authority to enforce standards and hold them responsible for achieving them.** A junior leader who insists on re-inspecting weapons after the ranges is not merely exercising rank but is fulfilling his duty. **Accepting less may endorse bad habits.** Leaders accept that everything cannot be a priority but do not set the minimum standards as goals. Exercise judgement in prioritising; striving for excellence in everything can be counterproductive but the fact that a task is not a priority does not excuse lack of care. Professional leaders accomplish tasks to standard; competent ones make sure the standard fits the task's importance.

### Achieve - Negotiating

Negotiation is a problem solving process where two or more parties discuss and seek to agree their interests through joint decisions. Interests relate to each party's needs, fears, concerns, goals and motivations. **Effective leaders negotiate around interests rather than positions that tend to be static and unyielding.** Negotiation situations, particularly overseas, often involve multiple issues including lives, security, resources and alliances. Negotiations occur over time, often in cultural settings with multiple interest groups and are often complex. **Successful agreements depend on positive relationships.** The end state of any negotiation is the creation of an acceptable choice between a clear, realistic and satisfactory commitment or a reasonable alternative, both of which meet the leader's interests. Good leaders with empathy are normally good negotiators.

#### PRINCIPLES IN NEGOTIATION<sup>36</sup>

- Understand parties and situation;
- Consider the measures of success;
- Prepare for negotiation process;
- Build on genuine rapport and respect;
- Inquire, acknowledge, advocate and listen;
- Generate options to meet parties' interests.
- Use balanced and fair criteria for options;
- Determine alternatives to an agreement;
- Commit to agreement if it is better and fair;
- Do not promise what cannot be delivered;
- Use lessons from one interaction to next.

### Achieve - Managing Resources

Leaders ensure that resources are provided and are used wisely. Defence resources can take the form of money, materiel, personnel or time. The acquisition process can vary from being a straightforward process such as distributing ammunition to a multi-layered and complex process of putting in a request through established channels, contracting for support or local purchasing. Influence approaches including persistence and patience are instrumental in successfully acquiring resources. Leaders are responsible for allocating resources in a manner that recognises different needs and priorities. A leader may have multiple requests for limited resources and will need to

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make decisions about their best distribution. Leaders need to deal openly, ethically and honestly with their decisions and the potential reactions from those who may feel the leader handled their requests unfairly or ineffectively. Ultimately, a leader should decide how to best allocate resources to meet the mission. Leaders should evaluate if limited resources are used wisely; or were they squandered or used in ways contrary to the effectiveness of the individual, unit or the Defence Forces? In cases of poor resource use, a leader should follow this evaluation with appropriate counselling and actions for those accountable for the resources in question.

### **Achieve - Creating a Culture of Achievement**

Achievement and success should be valued and recognised. Leaders that show genuine appreciation motivate their followers for future tasks and thus foster a culture of achievement within their team. Public recognition is particularly powerful as it increases the individual's self worth and motivates others to achieve them.

### **Conclusion**

Leading at the tactical level is challenging and leaders require strong character, competence and direct face-to-face leadership actions to achieve the mission and develop the organisation. This chapter has focused on tactical level leadership actions that enable effective leadership, with the emphasis on influencing, developing, evaluating and achieving. Direct leaders develop the organisation by establishing the right organisational climate, living the values, and develop their subordinates by providing example. Chapters 7 and 8 concentrate



on the operational and strategic levels. These chapters are not exhaustive and acknowledge that the **emotionally intelligent, self aware and thinking leader is consistently developing a leadership philosophy and style through experience and lifelong learning in the learning organisation.**



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# LEADERSHIP AT THE OPERATIONAL LEVEL

*Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.*

## Introduction

As leaders mature and assume greater responsibilities, they must learn new skills, develop new abilities and operate in more complex environments. Operational and strategic leaders maintain their own personalities and competencies, but they also expand what they know and refine what they do. This chapter examines leadership at the operational level. Systems awareness, operational readiness, joint and combined leadership, the recognition of service differences, and organisational and cultural diversity are explored in this chapter, as is organisational development and its significance in long term organisational success.

## The Operational Level

The operational level drives the organisation and is defined as **the level at which campaigns and major operations are planned, conducted and sustained to achieve strategic objectives, linking the strategic and tactical levels.** It is the level at which organisations are run. Operational leaders translate strategy and complex concepts into understandable operational and tactical plans and action, and develop a systems approach. The Defence Forces has identified six (6) imperatives: quality people, training, force mix, doctrine, modern equipment and leader development. These imperatives translate into Doctrine, Organisation, Training, Material, Leadership, Personnel, Facilities and Interoperability, commonly called DOTMLPFI. Together with values, these systems provide the framework for influencing our organisation and our people, conducting a range of operations and developing the force.

Defence Forces operational leaders oversee transformation, respond to evolving operational environments and develop the organisation's future leaders. They divide their attention between the concerns of the organisation and their staffs and those of their subordinate leaders, units and personnel. They focus their personnel by disseminating a clear intent, by sound operational concepts and by a systematic approach to execution. By leading through example, by utilising knowledge, by applying leader competencies and by reflecting the Defence Forces culture and values, operational leaders build teams of teams. Defence Forces Headquarters' Directors, and Formation and Services staff also practice leadership at this level.

Defence Forces operational leaders in leading complex, joint and combined organisations, at today's tempo and under the stresses of operations, training and administration, practice tactical, operational and strategic leadership simultaneously. They influence beyond the chain of command by applying interpersonal and conceptual skills differently and balancing their role as soldier, sailor or aircrew with that of being a diplomat in uniform. **The leader actions of Influencing, Developing, Evaluating and Achieving are critical to operational leadership.**

## INFLUENCE

Operational leaders, to be successful, have strong instincts, intuition and knowledge gained from experience and a heightened awareness for the organisational, geopolitical and human consequences of their actions. While operational leadership primarily occurs indirectly where leaders shape the environment through the cascading effect of their influencing skills rather than through tactical face-to-face contact, it should also occur horizontally through networks between

services, branches and directorates and outside the organisation. **Influence is achieved through effective communication, motivation, sound decision making and collaboration.**

### **Influence - Communication**

**An operational leader's face-to-face communication must be more nuanced and focused than a tactical leader's communication.** As they regularly move from one function, one project and one part of the organisation to another, they must deliver the right message. Poor communication can have negative consequences. An open two-way exchange of information reinforces organisational values and signals constructive input. Communicating openly with subordinate and superior leaders is important. Understanding the higher HQ reduces course corrections at the lower levels, makes it easier to anticipate future planning, minimises friction and maintains a stable tempo and climate. **Leaders must know themselves, the mission, the message, the environment, the best method of communication, and must share these with subordinates.**

OPERATIONAL LEADER'S COMMUNICATION IMPERATIVES
<p><b>Know Yourself:</b> Assess your strengths and weaknesses. Commit to a leadership philosophy and communicate it. Know your biases, frustrations and desires. Communicate verbally and non-verbally in a careful and considered manner, where personal mannerisms and demeanour can reinforce or contradict a spoken message.</p>
<p><b>Know the Mission:</b> Know and share the mission and message. Reinforce team values, establish trust and be open to subordinates ideas. Encourage dialogue, listen and ensure that subordinate leaders and staffs can have forthright, open, and honest voices, without fear.</p>
<p><b>Know the Environment:</b> Assess the environment, the people, events and systems, and tailor the message to the audience. Convey intent, standards, goals, and priorities to staffs, subordinate commanders and superiors.</p>
<p><b>Know the Best Method of Communication:</b> Communicate through visibility, presence and personality. Visits can help: clarify orders; communicate additional direction and guidance; experience the conditions under which personnel operate and make accurate assessments of the climate. Influence succeeds when you communicate the 'right message' to the 'right audience' at the 'right time'.</p>

**Table 7.1 Operational Leadership Communication**

### **Influence – Motivation**

Motivation means imparting a desire on the part of the individual and organisation to do what is needed without being directed. This understanding forms the foundation of resilient organisations, with discipline, that can take stress and friction and persevere. Motivated organisations evolve within a positive organisational climate. **Characteristics of a successful organisational climate include a clear, widely known intent; well trained and confident soldiers; disciplined, cohesive teams; and trusted, competent leadership.**<sup>37</sup>

Operational leaders maintain a sense of the environment. A consistent and genuine effort to know what is going on and fixing things engenders respect. Staff that may be good sources for feedback include Personnel Support Staff, Gender Advisors and Chaplains. Forums for feedback may include Talks to Troops, town hall meetings, surveys and personal observation. Mentoring and feedback enhance motivation; improve subordinate performance and enable mission command. The latter requires subordinate confidence that in any situation, when they know the commander's intent and develop a competent solution, the commander will underwrite the risk they take. These risks are greater in larger organisations. **Over supervision undermines empowerment; under supervision can lead to failure where the leader's intent is not understood.**

### **Influence - Decision Making**

Decisions and actions at the operational level have greater consequences for more people over a longer time than those at the tactical level. Operational leaders develop clear concepts for

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operations and develop policies and procedures, to understand and visualise the effect on the organisation and on the mission when making decisions. There will always be difficult decisions that require imagination, rigorous thinking and analysis. As leaders transition to positions of greater responsibility they must appreciate the value of alternative perspectives, spend more time coordinating and thinking, and reflect on what they are doing. **Leaders operating at this level must appreciate the importance of listening as well as directing.**

Operational leaders use the Military Decision Making Process/Operational Planning Process, and add their conceptual appreciation of operational design to their tactical knowledge when making decisions and determining courses of action. Leaders may be tempted because of pressure, the threat, fear or fatigue, to abandon sound decision making by reacting to short term demands, but should not abandon proven methods in crises. In operations, success comes from creative, flexible decision making by leaders who quickly analyse the problem, anticipate belligerent and threat actions and rapidly execute their decisions. Leaders who delay decisions may cause casualties and mission failure. Leaders bear ultimate responsibility for their organisation's success or failure. If the mission fails, they must take full responsibility. If the mission succeeds, good leaders credit their subordinates. **In operations, leaders take advantage of fleeting opportunities, they see challenges rather than obstacles; they seek solutions rather than excuses; and fight through uncertainty to success.**

Operational leaders integrate all available information and resources, assign specific tasks to accomplish the mission and empower their subordinates to execute within the given intent. They rely on a creative and trustworthy staff to help acquire, filter, analyse and synthesise huge amounts of information and monitor and assess operational progress. Analysis breaks a task into its component parts and is essential to effective planning, decision making and mission development. While synthesis assembles complex data into an understandable solution, good analyses and synthesis helps operational leaders to make decisions and exercise effective command and control. Coping with uncertainty is normal and operational leaders are likely to make decisions with incomplete information. Given today's information technology, the temptation is to wait for all the available information before making a decision. **Decisive leaders make decisions, rather than wait for all the facts and risk failure. They are where they are because of their experience, expertise, intuition, initiative and judgement.**

### **Influence - Collaboration**

Military operations frequently need to be coordinated and harmonised with those of other agencies including national and local authorities at home or perhaps international and regional organisations, governments and Non-Governmental Organisations or agencies on deployment overseas. The presence of multiple agencies with different modus operandi means that the operational level commander must remain flexible in approach. Dealing with diverse stakeholders demands poise, tact, sensitivity and a collaborative mindset, where the operational leader must create a broad dialogue and be open to the advice, expertise and insights of other individuals and organisations. In extending influence beyond the Defence Forces operational leaders are often required to use negotiation, persuasion, collaboration, empowerment, motivation, conflict resolution, bargaining, advocacy and diplomacy while serving as military negotiators, consensus builders, and operational diplomats. **The operational leader when effectively balancing the roles of soldier, warrior and diplomat, can set the stage for military, political and social stability.**

### **Influence - Using Negotiation and Persuasion to Build Consensus**

Successful negotiating involves communicating a clear position on relevant issues and integrating an understanding of motives while conveying a willingness to bargain on other issues. This requires recognition of what is acceptable to the negotiating parties and achieving a workable compromise. Good negotiators visualise several possible end states while maintaining a clear idea of the optimal end state. Well-developed skills of persuasion and an openness to working through controversy help reduce grounds for misunderstanding, overcome resistance, build support and places

emphasis on the important issues. The cultivation of a climate where communication is encouraged places an onus on the leader to persuade rather than direct. It is particularly so in dealing with other operational leaders, multinational partners and in the socio-political arena where openness to discussing one's position and a positive attitude toward a dissenting view often defuses tension and saves time. **Promotion to the operational level does not imply a monopoly on good ideas; leaders must also be open to being persuaded themselves.**

### **Influence - Building Networks**

Networking gives operational leaders reliable and current information and a broader perspective. **Leaders need to ensure that do not rely solely on the internal and external communication systems or on a stove-piped structure based on their organisational hierarchy.** The operational leader must develop formal and informal networks which facilitate communications to flow more quickly in multiple directions without undermining the chain of command. Constantly sensing, observing, talking, questioning and listening helps better identify, solve or avoid potential problems; and anticipate decisions, plans, operations teams and put teams in the best position to respond. Developments in information and communication technologies provide new opportunities for collaboration and information sharing for military forces and their potential adversaries. Perceptions are part of the reality in which we operate, which highlights the importance of the 'battle of the narrative.'

### **Influence - Leveraging Capabilities of Joint and Combined Partners**

Members of the Defence Forces participate in joint and combined (multinational) operations and training exercises, where they may control organisations, forces or staffs of other services and nations. Consequently, operational leaders and staffs must understand joint and combined doctrine and procedures. Today's nonlinear and dynamic environments are information intense and challenge leaders to synchronise their efforts beyond the traditional military chain.

Operational leaders can influence by the way they conduct themselves, their expertise, knowledge and professionalism thereby portraying a positive image of not alone themselves but the Defence Forces and Ireland.

#### **GOOD COMMUNICATIONS IN JOINT AND COMBINED HQS**

- Sharing information between components in accordance with agreed information management principles;
- Using common language, avoiding jargon and contested terminology;
- Strengthening a culture of mission collaboration;
- Adopting agreed standards and formats to manage and share information.

### **Organisational, Cultural Diversity and Recognising Service Differences**

**Leaders in the joint service or combined environment are required to exercise a subtly different form of leadership to influence the behaviour of diverse personnel, groups and teams.** Notwithstanding the contemporary movement to joint operations, military leaders spend their formative years in a single service environment which shapes their attitudes, beliefs and values. Despite similarities between the services, there are cultural differences based on the unique physical environments in which the Army, Air Corps and Naval Service operate. The differences in leadership styles can influence judgments about what constitutes 'good and bad' styles. The challenge is to synchronise the operational staff, whose members are not solely from one service or nationality. Cultural diversity overseas can promote the best use of professional, technical and cultural disciplines, providing breadth and resilience to mission planning and implementation.

The Army, Naval Service and Air Corps are constituent elements of the Defence Forces. Their individual service cultures have always been different and they will remain so, even in the joint environment. This can serve to enhance the overall mission and its outcome, providing broader perspective, insight and momentum. It is incumbent on all Defence Forces leaders to develop an early appreciation of the culture and practice of each of the three services. Joint and combined operations have shown us that understanding the differences between the services can be a challenge which is often centred upon basic concepts such as approach to discipline, teamwork,



loyalty and the chain of command. While the fundamentals of each of these are common and shared, their application can differ based on service, environment and context.

### The Army

The Army, as the nation's land force, is a flexible, operationally ready and adaptable force, capable of deploying light, medium and Special Forces in single service or joint operations at short notice. Army units by virtue of their disposition throughout the state and abroad, in Aid to Civil Power and Civil Authorities Operations and in Peace Support Operations routinely engage with the citizens, communities and authorities of the state. In extremis the Defence Forces may physically face a threat of combat across the spectrum of conflict. **There is a requirement for continuous engagement with target audiences and balancing force projection with force protection, and hence greater self-sufficiency, versatility and mobility in leadership across the all arms brigades and among units and soldiers, regardless of rank.**



The Army has a command practice of including a senior soldier as an adviser to the officer in charge in all headquarters from section level upwards. This relationship, based heavily on mutual trust, exists throughout the Army's command structure. Within the Army this exists at the General level between the Brigade Commander and the Formation Regimental Sergeant Major. To some extent both the Naval Service and the Air Corps embrace components of this command practice but their service headquarters structure varies from that of the Army formation.

### The Naval Service

Continuous operations in harsh maritime conditions requires a style of leadership that fosters trust, respect, and collective effort. Due to the very nature of the maritime environment it is accepted and expected practice within the Naval Service that decisions are verified by questioning where any potential issue of safety may arise. Any crew member can call 'safeguard' at any stage during an evolution where they feel there is an unwarranted risk present. No crew member can be considered wrong if such a risk does not present. This culture encourages questions and is part of naval life but in the joint environment can mistakenly be considered as almost irreverent to command. This is not the case; rather it is a reflection and recognition of the team culture onboard ship.



**The reality for naval service crews is that where the ship goes, everybody on board goes and the risk and danger is shared by everybody on that ship.** This demands a greater emphasis on teamwork and tolerance of crew-member differences. While recognising the team culture at sea, the Captain 'is the ship'; no action at sea takes place without specific command direction and the Captain remains the critical decision maker. Secondary duties and the teamwork approach of a ship at action stations also means that crew members have to be skilled in functions outside their primary employment category.



## The Air Corps

Caseant Aerodrome is a secure, critically located element of the national aviation infrastructure providing the facilities for all Air Corps aircraft and all its administrative and support facilities. The majority of Air Corps personnel work on base and their work directly or indirectly, contributes to maintaining the Air Corps' capacity to deliver a high tempo of operational output on a 24/7 basis. The airborne aircraft with its pilot(s) and aircrew are supported by a much larger organisation of specialists, who are all members of an interdependent team. It is the quality of the training and the leadership at all levels that enables the Air Corps succeed.



**The culture of safety and risk mitigation are paramount within the aviation environment and central to the interdependent culture which prevails within the Air Corps.** This often demands a more open approach in the work place whereby the leader (pilot, engineer, technician or crewman) may be challenged or questioned. This is done in order to mitigate risk and to encourage everyone who identifies potential risk to speak in the knowledge that a just culture prevails. In the joint environment this can often be misconstrued or perhaps misinterpreted as indiscipline or over familiarity. However, it is in essence the ultimate in trust and mutual respect whereby everyone is encouraged to exercise their 'duty to challenge.' Developing this culture requires focused leadership and awareness of constructive crew or maintenance resource management, in order to build the strong teamwork required in a complex, dynamic and high risk environment. Critically, command is strengthened by this culture where ultimately everyone knows and respects who is in charge and there is acute awareness of individual and collective responsibility in mission success.

## DEVELOP

Developing is what leaders do today to make their organisation, subordinates and staffs better tomorrow, next month, next year, ten years from now. **The responsibility for how the Defence Forces performs in the future lies with today's leaders.** Just as leadership begins at the top, so does developing. Preparing for the future and transforming the organisation are enduring challenges. Leaders develop the capacity to provide value to government and leave the organisation better than they found it. At the operational level they recognise and comprehend the direct, indirect, intended, unintended, second and subsequent order effects that their activities might generate. **For the Defence Forces, overseas service has contributed to organisational development. The careful selection of missions mindful of organisational needs and risk remains essential in this process today.**

**Leadership development may be the leader's greatest legacy.** Effective leaders grow leaders at all levels of the organisation. They integrate development programmes into everyday training and allow reflection. As Frederick the Great said: 'what good is experience if you do not reflect?' Leaders develop from what they practice and from what they learn from honest mentoring and After Action Reviews. **Letting 'working, training, operating' overwhelm developing 'threatens' the future.**

## Develop – Self

Effective leadership at the tactical level does not always transfer to the operational level. Leaders must avoid the temptation to cling to particular leadership skills, as they may be less effective at higher levels of the organisation. The leader must continue to develop self-awareness as part of lifelong learning. **Self-awareness is the baseline for managing and for creating and maintaining relationships with others.** Lifelong learning is a leader's choice to actively pursue knowledge. The operational leader should continue to master technical and conceptual skills outside their original expertise. This broadening in professional development is fundamental to leadership at

the operational level. A developed intellect helps the leader think creatively and reason analytically, critically, ethically and with cultural sensitivity. Leaders must maintain high levels of fitness and health to withstand stress and to maintain their ability to think clearly.

#### HISTORICAL VIGNETTE 12 OVERSEAS SERVICE

*Beginning in 1958, when fifty officers deployed in Lebanon, UN service provided the Defence Forces with a worthwhile raison d'être. In 1960, the government agreed to the deployment of troops for UN peacekeeping service in the former Belgian Congo, where a secessionist war had broken out in Katanga. Over the next four years, ten battalions were dispatched, involving over 4,500 members of the Defence Forces. Equatorial Africa proved a far cry from Mullingar, but the units sent rose to the challenges of climate, disease, distance, and operating within a multinational force, as well as the complexity of the Congolese situation. For the Army, UN service brought enormous opportunities for improving the effectiveness of units and troops in operational conditions and working in tandem with foreign armies, as well as for the education of officers on command, observer and liaison duties.*



Defending Ireland, Eunan O' Halpin

Leaders create these capabilities by studying doctrine, tactics, techniques and procedures and by contextualising with personal experiences, military history and geopolitical awareness. As at all levels, leaders have to balance the demands of diplomat and warrior. Self-development should include learning languages, customs, belief systems, motivational factors and the doctrine of multinational partners and potential adversaries. Pursue self-development during institutional and operational assignments. **In no other profession is the cost of being unprepared as unforgiving.**

#### **Develop - Others**

The development, training and education of our personnel are central to transformation. To strengthen learning beyond our teaching establishments, operational leaders can make numerous avenues available for lifelong learning: assignment oriented training, simulations, learning centres and virtual training. Leaders are in a position to determine and develop the potential in others. For instance, high performing staff begins with putting the right people in the right positions. In doing so, leaders have to balance the criticality of the job and who would do the best job with the developmental needs of all subordinates. **One of the most important decisions for an operational leader is to select the right Executive Officer or Deputy Commander.** This leader, must have respect, be capable of taking charge of the staff, focusing and inspiring it, making it function fully as a team and moving it to achieve results in the absence of the commander.

Ultimately, commanders lead, coach, and mentor subordinate leaders and staffs. They avoid micro-managing subordinates while trusting and empowering them to think creatively and provide truthful answers and feasible options. It takes awareness to build on strengths and address weaknesses knowing that learning by making mistakes may be acceptable for some, but others need to experience successes rather than failures to develop self-confidence. **Leaders who conduct regular assessments of themselves, their staffs and their teams hold their organisation to the highest standards.**

#### **Develop - Learning**

Operational leaders create an environment that supports personnel within their organisations learning from their own experience and from others. They set the tone for the honest sharing of experiences by acknowledging that not all experiences, even their own, are successful. How leaders react to failure and encourage success now is critical to reaching excellence in the future. They encourage subordinates to examine their experiences, and make it easy for them to share what they learn. Subordinates who hide mistakes deprive others of valuable lessons. Someone is always experiencing something from which a lesson can be drawn. For this reason, leaders ensure continual teaching at all level and that the organisation as a whole shares knowledge and applies

lessons. They have systems in place to collect and disseminate lessons so that individual mistakes become organisational tools. This commitment improves performances.

### Develop - Building Teams

In peacetime, conflict and wartime, building combat power derives from building units, task organisation, resourcing, and preparing for execution while meeting the human needs of the organisation. The main component of combat power is embedded collective training through team building, and organisational readiness stemming from demanding, continuous and challenging training to standard. Turning an operational vision or training goal into reality takes the efforts of many teams. Cohesive teams combine with others into a network of teams or a team of teams. The Defence Forces is **a team of teams**, comprising of numerous functional areas. Operational leaders create the context for nurturing and developing teams.

#### HISTORICAL VIGNETTE 13 GENERAL BERTHIER - NAPOLEON'S COS

*In the Jena Campaign of 1806, Berthier, armed with Napoleon's loose intent to invade Prussia, commenced with the preparatory work of 'compiling orders of march, selecting routes, and issuing the necessary warning orders to lower formations. At the same time he was gathering and collating intelligence about the enemy's movements.' The commitment, example and skills demonstrated by Berthier, led General Thiebault to give the following description of Berthier: 'Quite apart from his specialist training as a topographical engineer, he had knowledge and experience of staff work and furthermore a remarkable grasp of war. He had also, above all else, the gift of writing a complete order and transmitting it with the utmost speed and clarity. Finally, he was endowed with unusual vigour and displayed an indefatigable temperament. No one could have better suited General Bonaparte, who wanted a man capable of relieving him of all detailed work, to understand him instantly and to foresee what to do.'*



Developing Leaders, A Sandhurst Guide

Collaboration and dialogue with subordinate units creates the shared understanding required for successful teams and operations. Commanders gain insight into the needs of subordinate leaders while sharing their own clear vision and commander's intent. Commanders must know their units and personally motivate soldiers by their presence. By knowing their subordinates, their aspirations, fears and concerns, operational leaders can ensure their subordinate organisations and leaders work together. Taking time to allow subordinates to develop ways to meet organisational missions fosters ownership of a plan. **As collective brigades, formations and services combine into a network, a team of teams, organisations work in harness with each other, to operate (and fight) as an outstanding one.**

### Develop – the Multinational Team

The UN's Mission Leadership publications highlight that effective leadership by the Mission Leadership Team (MLT) is the single most important factor for success in operations. Changes to traditional peacekeeping have placed greater demands on mission leadership, requiring MLTs to be better prepared, resourced and accountable. Integrated missions comprise civilian and uniformed components, the heads of which will normally form the MLT. These may include a Special Representative of the Secretary General, normally the Head of Mission (HoM)), supported by the Deputy and the senior uniformed leaders, the Force Commander, Police Commissioner, Chief of Mission Support and the Chief of Staff.

#### BUILDING THE MULTINATIONAL TEAM HQ

- Optimise co-location and aim for functionally integrated teams;
- Apply a collaborative and flexible approach;
- Develop shared understanding;
- Leverage organizational and cultural diversity;
- Accept responsibility and ensure accountability;
- Promote integrated planning and action;
- Utilize planning and assessment tools effectively and creatively;
- Ensure prioritization and sequencing.

The MLT operates effectively if personalities complement each other and they function as an inclusive and coherent team, willing to develop a culture of learning, commitment, trust and mutual

respect. The HoM should encourage information sharing and welcome the participation of all MLT members in making decisions. This approach needs to be extended beyond the MLT to strengthen relationships with the external actors, including host country counterparts. This is achieved by wide scale communication and consultation, devolution of authority and frequent field visits. In dealing with non-state actors, including armed groups, often hostile to the host government, care must be taken not to jeopardise the mission's impartiality. Such relationships are best based on mutual respect with proper recognition of local customs. It is important that the MLT maintain a close relationship with departments in the UN Secretariat, including the Department of Peacekeeping Operations.

## EVALUATE

It must be readily understood and accepted that ambiguity, confusion and contradiction are likely to permeate the operational level environment. Continuous evaluation reduces the impact of these elements on mission success. In order to evaluate effectively at the operational level the leader must consider many critical elements including:

- Understanding the strategic objectives
- How the objectives are/were best achieved
- The organisational culture as a facilitator in change or success
- Past operational successes and failures and the factors which influenced them
- An understanding of oneself as a leader and the need to adapt to be effective at this level.

The time available for leaders at the operational level to conduct analysis, reflect and evaluate will at times be limited, demanding a trade-off between the improvement of understanding and the imperative to develop clear orders, issue instructions, complete the mission or move to the next challenge. Proper evaluation demands that leaders demonstrate an expansive and open mind which in turn improves the mission and mitigates or minimises the potential impact of groupthink; where the thorough consideration of alternative viewpoints or Courses of Action may be sacrificed in the interests of preserving a consensus (See Chapter 9).

### Evaluate - Reflection

While the time available for a decision may vary, the timing of the decision made by operational leaders is more important than the speed at which the decision is reached. Senior leaders must be patient and reflect before acting on their decisions. The intentional postponing of the implementation of a decision until the operational climate improves may be more advantageous to the potential outcome; for example it may facilitate a greater number of stakeholders to be brought on board. In the past leaders often had more time to reflect on the



decision making process. **Modern real time communication systems have erroneously caused some of us to believe that a fast decision or response is more important than one reflected upon and thoroughly analysed.** Quick decision making and decisiveness can be highly effective at the tactical level however it can result in poor outcomes at the operational and strategic level. The effective operational level leader needs to be able to sort through great amounts of information, focus on and gather what is significant and then make decisions.

### Evaluate - Critical Thinking

Critical thinking demands an understanding of systems and an ability to accurately filter information which is important from that which is not. The leader relies on analytical ability and experience to assess ambiguous situations and then identify and manage risk. By encouraging critical thinking in subordinates the leader allows them to assess operational challenges, analyse indicators, plan courses of action upon which he can reflect and make decisions.



**Evaluate - To Ensure Mission Success**

Quality operational evaluation based on reliable information, and underpinned by experience, instinct and intuition can determine weaknesses and enable focused improvements within elements of the operation or team. Ongoing evaluation improves the potential to achieve results and mission success. Designing effective evaluation systems such as In Process Reviews, After Action Reviews and Mission Readiness Exercises requires operational leaders to set achievable and measurable assessment standards. In doing so the operational leader should reflect upon the questions as outlined in Table 7.2:

DESIGNING EVALUATION SYSTEMS	
▪	What is the standard?
▪	Does the standard make sense?
▪	Does the standard meet the requirements for mission success?
▪	How do we measure meeting the standard?
▪	Who is responsible for measuring the standard?
▪	Can we / Did we meet the standard?
▪	How do we reinforce the standard or correct it?

**Table 7.2 Designing Evaluating Systems**

Because their decisions can have wide-ranging effects, leaders must be sensitive to how their actions affect climate. The ability to discern and predict third and fourth order effects helps operational leaders assess the health of the operational climate and provide constructive feedback to subordinates.

LESSONS LEARNED IN HUMANITARIAN ASSISTANCE AND PEACE OPERATIONS <sup>38</sup>	
The earlier involvement the better chance for success	Don't make enemies. If you do – be firm in your dealings with them. Avoid mind-sets.
Start Planning early, include everyone	Seek unity of effort/command
Thoroughly assess before deployment	Open dialogue with everyone
Do a thorough mission analysis, determine End State, Centre of Gravity, Commander's Intent, Concept of Ops, Exit Strategy, cost capturing and duration	Encourage innovation and non-traditional approaches
Stay focused on the mission. Align military tasks with political objectives, avoid mission creep, allow for mission shift	Personalities are often more important than processes
Centralise planning, decentralise execution	Be careful who you empower
Coordinate everything with everyone	Decide on the image you want to portray
Know the culture and the issues	Centralise information management
Start or restart the key institutions early	Seek compatibility in all Political and Cultural compatibility and Military interoperability are crucial
Don't lose the initiative/momentum	Senior commanders and staffs need most education for non traditional roles. Troops need awareness and understanding

**Table 7.3 Lessons Learned in Humanitarian Assistance and Peace Operations**

Reflecting on third and fourth order effects may result in identifying resource requirements and initiating changes, to bring mission success. Third and fourth effects may include resource needs

and their use such as airfields, water, main supply routes, where to base the headquarters and the impact these decisions will have on the wider mission success. Leaders are responsible for anticipating the consequences of any action. Thorough planning and staff analysis can help, but this anticipation can also require imagination, vision and an appreciation of other people, their talents and organisational capacity. Operational leaders who appreciate this will **evaluate to ensure mission success**. Table 7.3 is an evaluation of the 'lessons learned' in the conduct of Humanitarian Assistance and Peace Operations. This and other reviews and lessons learned help contribute to future planning and achievement.

## ACHIEVE

Achieving is about acting to get results. **It is about achieving the mission while meeting standards, managing resources and taking care of people.** Requirements, processes and objectives become more complex and ambiguous at the operational and strategic levels. The interpretation of strategic vision and the configuration of resources is a requirement of the leader at the operational level. The position and authority of the leader, at this level, also infers a responsibility that the achievement of organisational objectives must be balanced with the capabilities and capacity of subordinate leaders and their units.

### Achieve - Translating Strategic Outcomes into Organisational Goals

The principal role of the leader at the operational level is to translate strategy objectives into internal policy and ultimately into practice through implementation and supervision. The term "strategic outcome" describes the Defence Forces aspirations, goals and objectives. Leaders must anticipate that strategic outcomes will evolve and their definition and detail will increase or decrease over time. Planning attempts to shape the future, yet operations are intrinsically a chaotic phenomenon that often denies precise positive control over events. **Clausewitz cautioned that, "Countless minor incidents-the kind you can never really foresee-combine to lower the general level of performance, so that one [may] fall far short of the intended goal."**<sup>39</sup>

### Achieve - Planning

**Military planning is comprised of two broad categories: force planning and operational planning.** Force planning is planning associated with the creation and maintenance of military capabilities. It supports preparations for the roles of the Defence Forces and involves the planning necessary to recruit, organise, train, educate, equip and provide military forces. Operational planning is planning for the mobilisation, deployment, employment, sustainment, and redeployment of military forces to accomplish assigned and/or contingent missions. At the strategic level, operation planning involves the development of strategic military objectives, strategic concepts and tasks in support of national security strategy. At the operational level, planning involves developing campaign plans to link the tactical employment of forces with these strategic objectives.

*"If I always appear prepared, it is because before entering on an undertaking, I have meditated for long periods and have foreseen what may occur. It is not genius which reveals to me suddenly and secretly what I should do in circumstances unexpected by others; it is thought and meditation."*

Napoleon

Operational planning is a key element of effective leadership and successful outcomes at the operational level. It involves the arrangement of activities in time, space and purpose to apply maximum relative military power at a decisive point in space and time. Advanced planning skills allow the leader to comprehend, integrate and synchronise the activities of systems to bring all resources to bear on achieving the mission and developing the organisation. The defining features of the planning challenge are uncertainty and time. All planning is based on imperfect knowledge and involves assumptions about the future and the future is uncertain. Uncertainty increases with the length of the planning horizon which increases the range of possibilities and increases the rate of change in the environment. Planning must try to anticipate and actively influence the future. **The object of planning is not to eliminate or minimize uncertainty, but to allow the leader to decide and act effectively in the midst of uncertainty.**



The more frequently and quickly the situation changes, the more often a plan must be revised. While pre-empting or acting early can be beneficial, it is optimum to assess, analyse and act as conditions dictate. Speed should always be seen in its appropriate context; sometimes it is right to gather all available information for a decision. At other times, no amount of information will resolve ambiguity; sometimes more information will increase ambiguity. Speed enables optimal weight in the planning effort. A key skill for the operational leader is to appreciate the sensible moment to make a decision. Planning too quickly risks missing crucial information while constantly seeking more information to resolve ambiguity slows down planning and risks 'paralysis by analysis.'

"Judgements and observations and expectations you've already thought out allow you to react more quickly to both the expected and the unexpected."

LTG Scott Wallace,  
V Corps, Operation Iraqi Freedom

**The Commander's Intent is the leader's personal expression of the end state for the mission and the key enabling tasks that must be successfully performed to achieve it.** Once this has been established, as a clear, concise and valid intent, the art of operational level leadership lies in empowering subordinates to take actions on their own to translate the stated intent into the specified mission end state. Planning to turn intent into reality is something leaders do every day and something the Defence Forces do well. This involves 'Systems Planning' which requires the seven (7) steps outlined in Table 7.4 below.

OPERATIONAL LEADERS - SYSTEMS PLANNING 7 STEP GUIDE <sup>40</sup>
<b>Establish Intent.</b> Specify a clear intent for what the organisation will be at a future point? Visualising this end state is more important than jumping into planning immediately. The Commander's Intent should be announced at the earliest practicable time.
<b>Set goals.</b> Set specific goals with subordinate leaders and staffs. Goals frame the operational leader's intent. Goals must be realistic.
<b>Determine Objectives.</b> Establish specific and measurable objectives. This process requires making precise calls from a wide variety of options. Make choices about what can and cannot be accomplished within the constraints of time and resources.
<b>Determine Tasks.</b> Determine the measurable, concrete steps that must be taken on the way to the objective.
<b>Establish Priorities.</b> Establish priorities for the tasks. This crucial step lets subordinates know how to spend one of their most critical resources: time.
<b>Prepare.</b> Missions are complex with multiple assets including staff, subordinate leaders, specialists and equipment. Take a step back and check to make sure the systems are in place and functioning properly and enable thorough preparation.
<b>Follow up.</b> Ensure the team understands the task; are they taking the actions to complete them; check the chain of command; is the intent clear to all? Validate the priorities and maintain a sense of purpose. Be aware of resistance, reflect and seek to work more effectively. Maintain Espirit de Corps through positive reinforcement and feedback.

**Table 7.4 Operational Leadership System Planning**

### **Achieve - Executing**

In joint operations, operational leaders may be required to integrate and synchronise elements of the Army, Naval Service and Air Corps. In the extreme, operational leaders may amass their forces on the battlefield, in the air or at sea, to include supporting assets from other services. While doing that, planning and preparation for branches and sequels of a plan and contingencies for future operations may continue. The essence of operations, particularly war fighting, for operational leaders is their will. They directly and indirectly energise their units, commanders, soldiers, sailors, and aircrew. **They show resilience and persevere despite limitations, setbacks, physical exhaustion, and declining mental and emotional reserves.** Although Unity of Command is a principle of war, at some levels a single leader can no longer control all elements of an organisation

and personally direct the accomplishment of every aspect of a mission. Effective operational leaders delegate authority and support their subordinate's decisions. Empowered subordinates have, and know they have, more than the responsibility to get the job done. They have the authority to operate in the way that they see fit and are limited only by the Commander's Intent, within the freedoms and constraints of mission command.

### **Achieve - Synchronisation**

The ability to understand and effectively employ systems including combat power is critical to achieving organisational goals, objectives, and tasks. Military operations require competent, confident, strong, resourceful and versatile leaders at the operational level who are capable of enabling tactical leaders to forge personnel into cohesive fighting units. Operational leaders must be masters of tactical and operational synchronisation. They must arrange activities in time, space, and purpose to mass maximum relative combat power or operational effort at a decisive point and time. Operational leaders must further synchronise the complementary and reinforcing effects of all joint military and non military assets at the decisive points to achieve success. Effective synchronisation requires leaders to pull together technical, interpersonal, and conceptual abilities and combine them to achieve organisational goals, objectives and tasks. The operational skill of synchronising a series of tactical and operational events is demanding and not to be underestimated.

### **Achieve - Managing Resources**

Operational level leaders efficiently manage resources to ensure the Defence Force maintains a high state of readiness. They evaluate objectives, anticipate resource requirements and efficiently allocate what is available. They are masters of resources including time, equipment, facilities, budgets and people. An operational leader's job is more difficult when unanticipated events arise such as emergency deployments, shifts in priorities and economic downturns. Operational leaders will be faced with prioritising: ammunition, food, water, fuel, personnel replacements and accommodation. A good leader will base priority decisions on multiple information sources: the tactical leader's assessments from supporting units, situation assessments and the Commander's Intent. Operational leaders continuously assess all the interrelated systems, design longer term plans and continuously sharpen their abilities to assess and balance their environments to achieve the mission. Leaders who reach the operational level must have developed a comprehensive systems perspective. This allows them to balance doctrine, organisation, training, materiel, leadership, personnel, facilities and interoperability in the Defence Forces; we refer to this as DOTMLPFI the capability functions. These systems provide the framework for influencing people and organisations and to achieving at all levels. **One of the greatest challenges the Defence Forces faces is that of maintaining critical skills: both the retention of technical personnel and maintaining expertise. Alert operational leaders are likely to prioritise personnel over any other issue.**

### **Conclusion**

This chapter has covered how as operational leaders assume greater responsibilities they develop new skills to effectively develop and lead staffs, subordinate leaders and organisations. The influence of operational leaders is primarily indirect; they communicate and motivate through staffs and subordinate commanders. Operational leaders direct operations by setting example, empowering subordinates and organisations and supervising them accordingly. They concern themselves with combat power – how to build it, maintain and recover it. These were the leadership challenges faced by COS General McKenna and the General Staff during 'The Emergency'. Chapter 8 now advances to leadership at the strategic level.



**COS Gen McKenna with Minister for Defence Oscar Traynor at Custume Bks Athlone**

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# STRATEGIC LEADERSHIP

*Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.*

## Introduction

The Defence Forces Leadership Framework provides guidance and general understanding of leadership at the Strategic, Operational and Tactical levels. This chapter discusses how leadership is shaped by increasing complexity as the levels get higher and as such, the strategic leader must appreciate the challenges at this level fully in order to maximise their leadership potential. This Leadership doctrine and the leadership framework underpin the understanding of strategic leadership in the Defence Forces. Effective Strategic Leadership has direct consequences which permeate throughout the Defence Forces and the environment within which it operates. This chapter establishes an understanding of vision and strategy. The headings of Influence, Develop, Evaluate and Achieve again provide the vehicle to identify and highlight the critical aspects upon which the strategic leader must reflect and in doing so reinforce the strategic leader's responsibility to develop the organisation.

## The Strategic Level

Strategic leadership provides the vision to direct the Defence Forces and from this vision the strategic goals, plans and benchmarks evolve and are developed to progress the organisation. In an increasingly complex and inter-dependent world where everything is connected, effective strategy and its execution are paramount. **In the Defence Forces, the General Staff and key appointment holders advising them including the Flag Officer Commanding the Naval Service and the General Officer Commanding the Air Corps provide the leadership at the strategic level.** Externally, the strategic level has the primary responsibility for interface with the political and governmental spheres which ultimately determine the policy underpinning the medium to long term development of the organisation. Internally, strategic leaders will be required to exercise leadership at the operational and tactical levels in appropriate circumstances. The application of leadership in the context of influencing, developing, evaluating and achieving (IDEA) in accordance with the leadership framework at the strategic level is more important than at other levels given its potential impact on the State and the Defence Forces.

The Strategic Level shapes the organisational culture, establishes standards, drives communication, builds relationships and enables change while continuously reinforcing values and behaviours. As a Defence Forces committed to values-based leadership and the attainment of excellence, leaders at the strategic level of the organisation carry the responsibility of setting and meeting this standard of excellence. The character and competence of the individual leader at the strategic level is central to the success, development and overall improvement of the Defence Forces. The competencies and attributes required are more complex at this level. While successful and effective leadership demonstrated by a leader at the tactical and operational level does not necessarily translate to successful strategic leadership, experience gained at the lower levels is vitally important for the strategic leader to succeed.

## Strategic Vision

In Chapter 5 vision is described as that which allows a leader to convey that the mission is possible and it helps followers imagine the proposed end state as being both desirable and credible. Within the Defence Forces, vision is applicable to every level and every operational and non-operational situation.

*“Military capability can be defined as: the ability to attain operational success for a given scenario, achieving desired effects under specified standards and conditions through combinations of ways and means”*

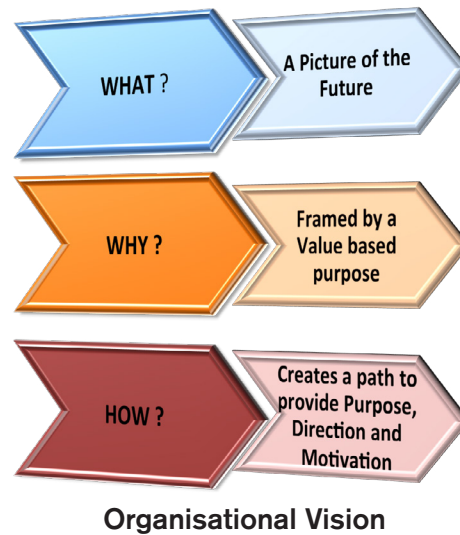
White Paper 2015: 6.1

In other words, every leader must have the capacity to visualise dependent on circumstance and situation.

Strategic vision is composed of two primary elements; an endstate or goal embedded in a future environment (vision) and a plan on how to attain that endstate (strategy).<sup>41</sup> **The vision and strategic goals for the Defence Forces are derived from the roles laid down by Government in The White Paper on Defence.**

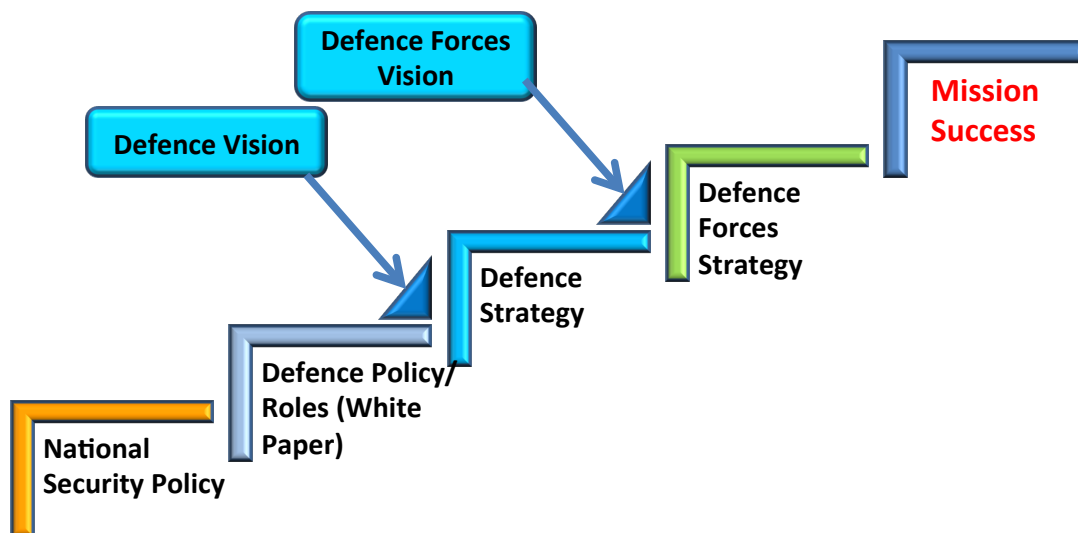
These roles inform the organisational mission and are the overarching reasons for its existence and understanding these roles is the foundation for the strategic vision.

The strategic vision must take cognisance of the Government Defence and Security Policy, the economic environment, the external environment and security partners. The strategic leaders' vision should provide the ultimate sense of purpose, direction and motivation for everyone within their sphere of influence. They design compelling visions and inspire a collaborative effort to articulate this in detail but they also have the responsibility of defining what counts as success. Ordinarily, a strategic leaders' vision for the organisation may have a time horizon of years but it can be of a much shorter timeframe. They communicate that vision clearly and when it is understood, seen as worthwhile and accepted, this creates energy, inspiration, commitment and a sense of purpose. Once the vision is articulated the strategic leader then creates the bridge to its achievement by promulgating a strategy.



**Strategy**

Policy is described as the political direction laid down in pursuit of national interests; strategy is designed to realise that policy. National strategy directs the co-ordinated application of the instruments of national power (diplomatic, information, economic and military) in the pursuit of national policy aspirations. The purpose of military strategy is to combine all the means available in the most efficient and economic way to achieve the goals derived from policy (Figure 8.1). Military strategy is the art of developing and employing the Defence Forces consistent with grand strategic objectives. Military strategy identifies the military objectives of an operation, assigns forces, provides resources and defines the conditions of the employment of these assets. Military strategy is developed by the Chief of Staff under the direction of the Minister for Defence.<sup>40</sup>



**Figure 8.1 Where Strategy Lies**

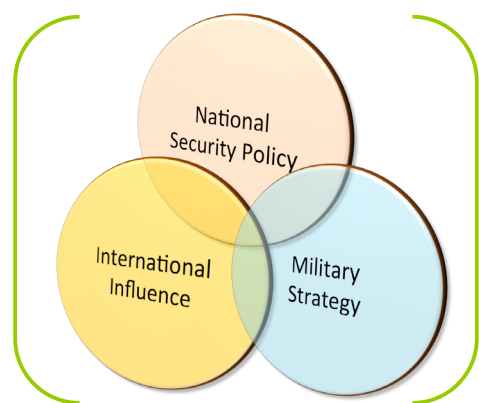


In effect, this requires managing resources with value and scale resulting in efficient effect or output or more succinctly, strategy is concerned with translating ideas to outcomes. However, because the context is always changing, the ends, ways and means must be adjusted continually to react timely and dynamically to the evolving situation. **This is why we develop and evaluate our strategy in an iterative manner and re-align this strategy cyclically or when a significant shock occurs.** Therefore, strategy is a dynamic process that incorporates ends, ways and means to meet policy objectives and will inevitably involve change. In this sense strategy must be realistic, is not linear and cannot exist in a policy vacuum. Strategy and leadership at the strategic level is a process that requires innovative adjustment and foresight in a constantly changing and complex national, regional and international environment.

### The Strategic Context

The Defence Forces operates in a complex and dynamic environment and has to constantly adapt to changing political, social, economical and technological circumstances. This Contemporary Operating Environment requires our military leaders at every level to show foresight and agility but this is particularly relevant at the strategic level. A continuous evaluation and review of the defence and security environment enables the Chief of Staff to provide timely and relevant military advice which contributes to shaping Government policy. Military advice includes advice in respect of international security, peace support and defence developments generally, national policy and military strategy (Figure 8.2), which in turn leads to the formulation of key strategy for the Defence Forces.

In the international sphere, a more diverse and broader range of issues are now recognised as posing security threats. These threats are complex, multi-dimensional, interrelated and transnational in nature. Events in the international sphere can have significant reverberations in Ireland and the distinction between “internal” and “external” security has become increasingly blurred. New vulnerabilities have arisen, including an increased reliance on technologies and services which facilitate global business. The complexity and transnational nature of many of today’s threats means that no one country acting alone can adequately respond to them: collective engagement and a comprehensive range of policy instruments are necessary.



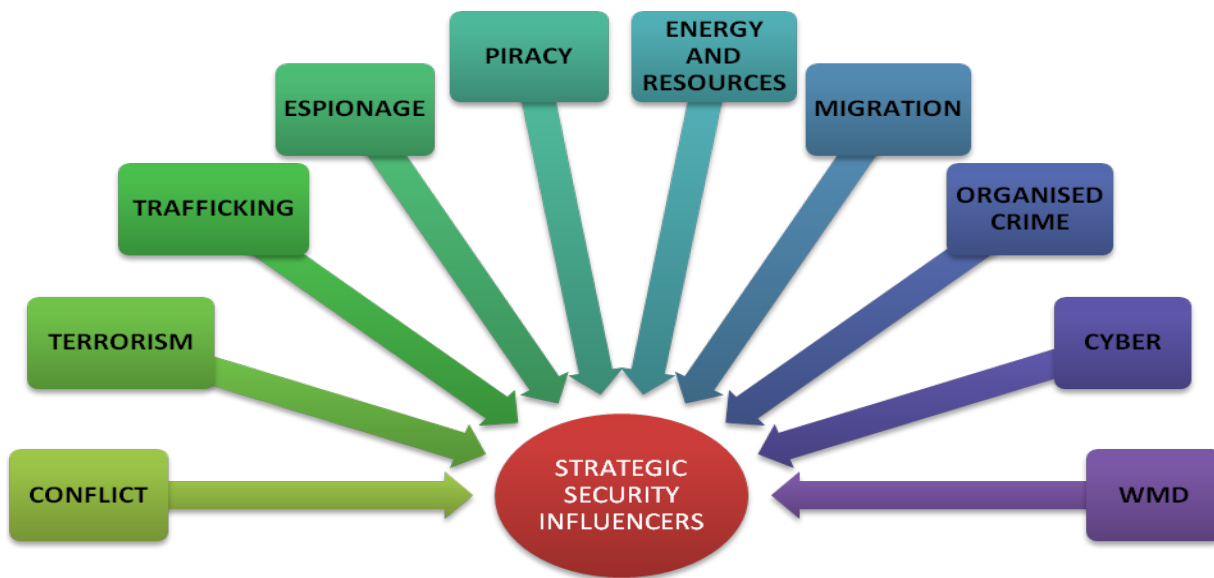
**Figure 8.2 The Strategic Context**

Conflict is likely to involve a range of transnational, state, group and individual participants who will operate at global, regional and local levels both collectively and individually. In addition to direct security threats, other incidents such as pandemics, natural disasters and climate change can intensify and impact on traditional security threats. Furthermore, risks that disrupt societal norms can have significant security implications. This complex web of cause and effect linkages, challenges the traditional view that internal and external security concerns are separate and distinct.

The reality is that security risks have become increasingly inter-related. It is now acknowledged that no state acting alone can address the entirety of these new and emerging security challenges. They require a co-ordinated, collaborative and integrated collective response, drawing on a wide range of policy instruments at national level and through multilateral collective security arrangements. Ireland and the Defence Forces engage in this collective security approach through the UN, EU, OSCE and NATO. In addition, the strategic context requires interaction with a large number of significant external stakeholders including government, industry, the media and the general public in order to react effectively to these threats and influences. (Figure 8.3).

*“We don’t see things as they are; we see things as we are.”*  
(Anais Nin)



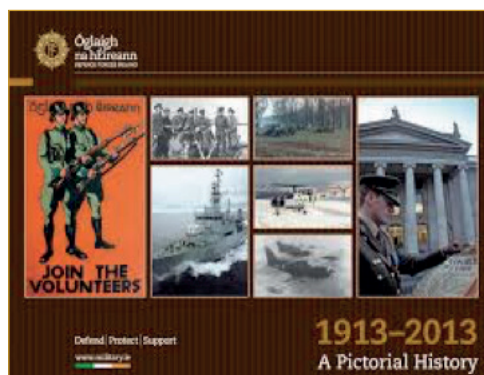


**Figure 8.3 Strategic Security Influencers of the Contemporary Operating Environment**

Strategic leaders are required to cope with the associated volatility and uncertainty of the Contemporary Operating Environment and must have the cognitive ability to understand strategic timing (knowing when to make a decision and when not to make a decision). A constantly evolving and fluid landscape can result in a blurring of the delineation between the levels at which leadership is practiced. However, it should still be remembered that, strategic leadership is fundamentally separated from the other leadership levels at which leadership is practiced by scale and effect. The variables that impact on decision making are increased, the risks are multiplied and the influencing environment is altered considerably. **Strategic leaders must focus on the medium to long term, in addition to the short term, and view the ‘big picture’ from perspectives other than the most familiar and convenient.** The adoption of a more flexible and adaptable approach is greatly assisted by understanding values based leadership at all levels, supported and enabled by the philosophy of mission command. Essentially, leadership at the strategic level must have the character and competence to advance the organisation and shape its culture in line with the overarching essential outcomes of Influence, Develop, Evaluate and Achieve.

### Shaping A Positive Culture

As well as providing the organisational vision **the strategic leaders are responsible for shaping the organisational culture.** As identified in Chapter 4 culture shapes Defence Forces customs and traditions through doctrine, policies and regulations and the philosophy, ethos and values that guide the organisation. **Culture consists of the shared attitudes, values, goals and practices that characterise the larger institution over time.** It is deeply rooted in long held beliefs, customs and practices. Strategic leaders must develop their levels of cultural intelligence to ensure the Defence Forces maintains its deeply rooted sense of loyalty and faithfulness to Ireland and its Constitution. This ensures also that the Defence Forces can face and overcome new cultural challenges as they arise with increased confidence.



The existence of sub cultures, resident in the various services, corps and units of the Defence Forces is a healthy and positive dynamic that must be fostered and upheld. In endeavouring to influence and shape these internal sub cultures strategic leaders must appeal to the overall systems of shared

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knowledge and meaning. **They have a responsibility to ensure that these subcultures fit into the overarching Defence Forces culture.** This culture is a powerful tool that should be nurtured by strategic leaders to effectively support their vision and achieve the mission.

Culture refers to the environment of the Defence Forces as an institution and that of the three services. While strategic leaders maintain the Defence Forces institutional culture, climate refers to the environment of units and organisations, primarily shaped by operational and tactical leaders. Climate is generally a short term experience, depending on the personalities in a small organisation and it changes as people come and go. When a sailor says, “My last Petty Officer was pretty OK, but this new one is great” the sailor is pinpointing one of the many elements that affects climate. Culture is a longer lasting and more complex set of shared expectations than climate. While climate is a reflection about how people think and feel about their team, unit or service right now, operational and strategic leaders must establish a climate consistent with the culture of the enduring institution.

**Culture also lets people know they are part of something bigger than just themselves, that they have responsibilities not only to the people around them but also to those who have gone before and those who will come after.** Soldiers draw strength from knowing they are part of a long standing tradition. The uniforms, the music played during official ceremonies, military salutes, military titles, the organisation’s history and the Defence Forces values all are reminders of a place in history. This sense of belonging lives in many veterans long after they have left the service. For most, service to the Nation remains the single most significant experience of their lives. Unit history is an important factor in that bonding, since we want to belong to organisations with distinguished service records. Through leading by example, teaching and upholding traditions, leaders sustain tradition and ensure that the Defence Forces culture becomes an integral part of every member of the team and adds purpose to their lives. Further elements affecting culture are outlined in Chapter 9.

### **Cultural Awareness**

Leaders at all levels but most particularly at the strategic level must be aware of the internal and external factors and climates contributing to or affecting the organisation and its mission within the current operating environment. In domestic operations the leader must be conscious of the culture pertaining to the agencies and organisations with which the Defence Forces is interacting. In international operations Defence Force leaders must be aware of local cultures in the area of operations such as: the religious demographic, the observation of local customs and traditions, ethnic divisions and tensions. Leaders must consider these factors when establishing the required ‘modus operandi’ for conducting operations. The success of working in a multinational environment as part of a combined and joint team will depend on a leader’s understanding of partners, their customs and traditions. Understanding of the culture of the adversaries that your personnel may come into contact with is equally as important.

*“...**Cultural Awareness is a Force Multiplier** and reflects our recognition that knowledge of the cultural ‘terrain’ can be as important as, and sometimes even more important than, knowledge of the geographic terrain.”*

Petraeus, 2006: Observations from Soldiering in Iraq

### **INFLUENCE**

Strategic Leaders are required to be adept at directly and indirectly influencing those charged with the execution of vision and they must have the capacity to influence the conditions which will ensure the Defence Forces achieves the desired result in the true sense of ends, ways and means. Influence, in itself, is a function of a relationship(s) and this will be discussed in more detail under a specific sub heading in the following pages. At the strategic level the leader has a multifaceted relationship internally with those being led, those civilian members within the Department of Defence and externally with those in the political, departmental and civil environment. Another key requirement involves nurturing and continuity of relationships with military partners in the UN, OSCE, EU and NATO PfP and others thereby enhancing professional influence for the Defence Forces. Also, from a systems and organisational point of view, it is clear that strategic leaders shape and influence the task environment inhabited by operational-level and tactical-level leaders.

Building an understanding of the role of internal and cross organisational consensus at the strategic level is essential to accomplishing objectives. This doctrine outlines a toolset available to the strategic leader (not exhaustive) in the approach to influencing others. Negotiation, communication and relationships are identified as vital tools of influence.

### **Influence - Negotiation**

In negotiations with external actors, strategic leaders must have a clear concept of what is the desired outcome and how it is going to be achieved. In order to do this they must know the key issues, demonstrate a sound rationale, be aware of the potential for compromise, building consensus and how far they are prepared to go to enable mutually beneficial outcomes.

### **Influence - Communication**

The ability to effectively articulate and communicate the vision and the organisational strategy enhances the strategic leader's ability to directly and indirectly influence others. Networking is an essential communication tool and hence the strategic leader should identify, seek out and establish key internal and external relationships in order to influence organisational development. Information, media awareness and its utilisation is a key enabler which requires careful but deliberate management at the strategic level.

*"To be effective as a leader, it is necessary to influence people to carry out requests, to support proposals and implement decisions. In large organisations, effectiveness...depends on influence over superiors and peers as well as influence over subordinates."*

Gary Yukl, Leadership in Organisations

### **Influence - Relationships**

The ability of the strategic leader to relate to those in the sphere of influence will have an immediate impact on working relationships. The strategic leader should promote teamwork and positive working relationships at every level throughout the Defence Forces. This includes the capacity to manage Joint and Combined (multi-national) elements. In order to succeed in this relationship, the strategic leader's influential focus should be on ensuring a clear understanding of the continued relevance of the organisation both internally and externally, underpinned by a strong sense of purpose. The strategic leader's personal drive and integrity directly influences credibility as a leader and hence the ability to influence others. For these multipart relationships to succeed, it is essential that the Defence Forces strategic leader is trusted and credible. The strategic leader's role in this relationship involves persuading, energising and exciting others about policy and strategy which will enable the flow of decision making and thus help clarification of performance goals and performance methodologies.<sup>43</sup>

The strategic leader must promote organisational values and ethics, act with utmost professionalism and represent the Defence Forces effectively in both internal and external forums. Commitment to decisive action in the achievement of key outcomes, maintaining a positive outlook and sustaining momentum towards goals are all influential factors which must be considered by the strategic leader.

### **DEVELOP**

The strategic leader has the responsibility to develop and/or transform the Defence Forces, the environment, the situation or the individual as the circumstance dictates in order to improve the organisation. In delivering military capability to fulfil the roles laid down by government, strategic leaders are responsible for the continuous evaluation, sustainment and development of internal systems such as operations, training, human resources, logistics etc. to meet these commitments. In addition, the strategic leader must recognise the effect that this will have in shaping and developing the organisation and its capabilities in the future. This development requires flexibility in planning to incorporate relevant strategic influencers (Figure 8.3), government priorities and defence priorities, while remaining within the resource envelope. Therefore, the strategic leader must promote an environment that enables the mentoring, development and sustainment of the operational leadership level while also ensuring the leader's commitment to self development.

Strategic leaders, by their example and resourcing decisions, sustain the culture and policies that encourage both the individual and the Defence Forces to learn and develop. The key considerations for strategic leaders in the developing function to improve the organisation include:

**Develop - Conceptual and Cognitive**

The modern strategic leader requires a high order of emotional as well as traditional intelligence, critical thinking and the ability to see beyond the obvious, thus recognising multiple paths or development opportunities and foreseeing their direct and indirect effects. The intellectual agility of the strategic leader encompasses an innate aptitude to alter personal and subordinate thought processes quickly and a capacity to recognise, filter, assimilate and apply new information.

**Develop - Creativity, Innovation, Initiative**

The Defence Forces as a learning organisation is committed to lifelong learning and personal development which in turn enables it to transform itself in response to changing demands and needs. The strategic leader has a responsibility to enable this learning, to nurture and develop new and expansive patterns of thinking and to encourage creativity, innovation and initiative which will facilitate the transformation and further development of the organisation. The strategic leader must exploit external opportunity, in order to foster this internal creativity, innovation and initiative and assist the organisation in effectively meeting the challenges of the future.

**Develop - Adaptive**

Strategic Leaders must be conscious of adapting to the external environment and recognising the influence it has on the Defence Forces performance and effectiveness. The continuous evolution of the international security environment, common defence and security policies and international treaties and their practical application requires the strategic leader to demonstrate adaptability and timing in ensuring that the organisation is responsive to these changes in the external environment. Table 8.1 below provides a guide to strategic leaders who are required to be creative, innovative and adaptive.

*“Senior leaders... involvement is more than acting as a role model; they govern the progress of individuals by meeting them, judging them, and creating the opportunities necessary for their junior colleagues relevant experience, as well as weeding out the unsuitable and the incompetent.”*  
Leadership in Defence 2004:92

STRATEGIC LEADER - ENABLERS TO ADAPTABILITY <sup>44</sup>
<b>Political:</b> Know that you never get involved in politics but you must understand it. Know political policy and strategy. Know that ultimately responsibility lies at the political level.
<b>Complexity:</b> Know that you may never have enough, or complete information before a decision is required. Know that strategy or decisions may be influenced or disrupted by the most simple of issues such as media or human interface.
<b>Delegation:</b> Know that the strategic leader must delegate. Know that in order for delegation to be effective it must be built on trust. Be clear of intent, add value to outcomes and practice mission command.
<b>Teamwork:</b> Know that for the Defence Forces to function effectively and to be adaptable, the strategic leader must encourage and develop positive teamwork. Personal and Defence Forces interests have to be balanced in order to ensure the strategic goals of the whole organisation are achieved.
<b>Helicopter View:</b> Know that the strategic leader needs to be able to take a holistic view, see the order of effects, be creative in approach and visualise how to achieve change. This is 'Siloism' conversely.

**Table 8.1 Strategic Leadership Enablers to Adaptability**

The training and education available for officers and NCOs both at home and overseas, in the Military College, Army, Naval Service and Air Corps Schools contribute to the shaping and development of personnel who will shape the future of the Defence Forces. Programmes with industry, advanced civil education and the associated accreditation complement this training and education, thus enabling effective adaption to new technologies and ways of thinking. The Defence Forces must also be flexible enough to produce and respond to change. Essentially, organisational change must



be balanced against organisational circumstance. The ability to select the appropriate combination is founded on good analysis, the ability to understand and apply change theory, to understand its effects, and in particular, to implement and adapt to the change.

#### VIGNETTE 14 OPERATIONAL COMMANDER - EUFOR TCHAD / RCA

*In Operation EUFOR TCHAD / RCA, the capacity for being distracted by the multifaceted influences of stakeholders was immense. These included twenty seven Troop Contributing Countries, (three of whom were non EU countries), the Host Nations, Transit Nations, the EU, UN, AU and over seventy NGOs in theatre. Many of the stakeholders would have held conflicting views as to the role, participation and indeed need for such a Force.*



*From the outset, as EUFOR Commander I needed to have a clear personal vision of the way forward. Being fully conversant with enabling instruments such as UN Resolutions, Mandate, Mission and any special directives was crucial. I endeavoured to establish my sphere of influence, understand the totality of the strategic dimension that pertained to the Operation and assume responsibility. While being conscious of Political and Diplomatic responsibilities, I also needed to quickly identify a spectrum of leverage sources and their possible use as the Operation progressed.*

*Espousing the raison d'être of the Force, the vision for the future, setting goals and having a strategy to achieve results and communicating a message of positivity to all, is important. By achieving incremental goals the organisation gains credibility, its relevance in international circles is accepted and the opportunity to be decisive is presented.*

*My experience within EUFOR re-affirmed the need to manage the flow of information in any major organisation or force. It is not the volume that matters but the quality. Insistence on collaboration at every staff level, being dogmatic about having precise and concise briefing papers and reports, which when properly verified, allow the commander to make sound decisions. It also affords the commander time to devote to leadership responsibilities such as, meeting, briefing and listening to all who have an interest in the success of the Force. Personal interaction by the commander at every level and displaying appreciation, where warranted, leads to self esteem, awareness and ultimately pride in the Force by all personnel. In an international force my experience told me that respecting the opinions and work practices of all nationalities was paramount and as a result it enabled me to influence and motivate all those under my command and achieve mission success.*

Lt Gen Pat Nash, Operational Commander, TCHAD 2007 - 2009

### **Develop - Leading Change**

Strategic Leaders have a significant responsibility concerning transformation and change. The Contemporary Operating Environment is recognised by the Defence Forces as being in a constant state of flux, resulting in new missions, new technologies, new equipment, and new concepts continually coming on stream. The strategic leadership of the Defence Forces is required to drive and implement change that has been influenced by these strategic issues in order to effectively and efficiently improve the organisation. **Therefore, the Defence Forces, inspired by Strategic leaders, lead change by cultivating accomplished officers and NCOs that possess not alone the warrior spirit but have the technical and tactical proficiency, the intellectual capacity and the diplomatic aptitude to respond to the changing environment.**

Charles C. Moskos in his book 'The Postmodern Military,'<sup>145</sup> highlights the ascendancy of the soldier-scholar, soldier-statesman and the need for the modern leader to be adept with the media and in "the intricacies of international diplomacy." Combining the concepts of entrepreneurship with those of the post-modern military warrior, scholar, diplomat and academic, presents a new paradigm for the military leaders of today. These concepts should not be seen as the preserve of strategic leaders and may exist

*"Creating a sense of involvement with those likely to be affected by change encourages their commitment to change and higher levels or standards of performance result."*

Paton and McCalman  
(2010:249)



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across the spectrum. Strategic leaders may have a significant responsibility concerning policy implementation, transformation and change but their ability to deliver on this role is enhanced by the well of leadership resources that resides throughout their organisation. The pace of change and the challenge presented by information overload alone requires the Defence Forces to be relevant, useable and adaptable in their implementation of policy, strategy and operations.

Change is best managed proactively rather than reactively. Loughlin and Arnold<sup>46</sup> see it as necessary for the military attitude to seek to combine the concept of soldier as “warrior” with soldier as “diplomat and scholar”. As such, much will be expected of future leaders in the military.

One of the most universally accepted guides to enabling change is Kotters 8 Step Change model. These steps are:

- Establish a sense of urgency
- Form a guiding coalition
- Create a vision strategy
- Communicate the vision
- Enable action
- Generate short term wins
- Consolidate and build on the gains
- Incorporate change into the culture.

Steps 1 to 3 require creating a recognised climate of change, steps 4 to 6 necessitate engaging and enabling the entire organisation and finally steps 7 and 8 involve implementing and sustaining the change.<sup>47</sup>

It is incumbent on the strategic leader to communicate the vision for a particular change, lead by example, motivate personnel to follow that vision, evaluate progress and create the momentum to ensure change is implemented. Strategic leaders deal with change by being proactive, not reactive. They anticipate change and they use the ‘change-drivers’ of technology, finance, education, doctrine, training, equipment, and organisation to control the direction and pace of change.

## EVALUATE

Evaluation at the strategic level focuses on analysing the reason for success or failure to achieve goals. This evaluation can lead to clarification of the strategy itself, re-assessing goals, setting levels of accountability and capturing performance indicators or conducting formal assessments and audits. Evaluation in the Defence Forces must be undertaken at all stages of a process and is applicable to individual strategic leaders in the form of self assessment, and at organisational level in evaluating overall performance. Strategic leaders must continuously survey changes in the political landscape and the international defence and security environment, and consider their potential effect on the Defence Forces, its force structure, organisation, capability development and its future strategic requirements. This could include a political redirection, change of financial position or adjusted military requirements. Knowing when and what to change is a constant challenge. Thus, an evaluation of the implementation of strategy is critical and must be done on an iterative basis until goals are achieved or strategy redefined.

*“Ireland’s defence policy, capacity and capabilities will continue to be developed in a manner such that we have the agility to respond to changing strategic defence and associated civil and military requirements over the lifetime of the White Paper.”*

White Paper on Defence 3.4.10

## Evaluate – The Joint Organisation

Strategic leaders set the conditions for long-term success of the organisation by developing subordinates, leading change, building the culture, and creating a learning environment. The Defence Forces with land, sea and air components is a multifaceted organisation and as a result quantifying the results of evaluation or change can be challenging. A primary requirement is for any evaluation

to be thorough and honest. There is a primary responsibility at the strategic level to ensure that a robust lessons identified process is fully implemented as a key element of the evaluation process, thereby ensuring that the organisation is constantly learning and improving.

### **Evaluate - Self-Awareness and Self-Management**

History has taught us about the great attributes and competencies of leaders. Knowing and understanding oneself is a constant challenge in the pursuit of leadership excellence. The ability to clearly understand yourself, your strengths and weaknesses is a necessary element of the emotional intelligence of a strategic leader. **Recognising and acknowledging 'when you are wrong' is a key attribute to successful strategic leadership.** This understanding grows through self-evaluation, reflection and learning from the shared experience of oneself and others. It is important for strategic leaders when contemplating self-awareness and self-assessment that the ethical standards and moral responsibility encompassed in their role is understood.

An emotionally intelligent leader appreciates the concerns of subordinates and the need to balance those concerns against the higher strategic needs. A leader with strong self-awareness encourages the sharing of experience and lessons learnt thus creating a positive and supportive working environment.

*"Emotional intelligence, more than any other factor, more than I.Q. or expertise, accounts for 85% to 90% of success at work... I.Q. is a threshold competence. You need it, but it doesn't make you a star. Emotional intelligence can."*

Warren Bennis

Strategic leaders must know the difference between what they are and what they must be, in order to enhance their leadership. Evaluation and lessons learned is not just for a specific mission or a unit. It is incumbent on all leaders, in particular those tasked with the most complex of strategic roles, to embrace a positive approach to their own lessons learned. Looking back or reflecting on individual accomplishments and failures, and accepting responsibility for them helps develop leadership insight. This will provide the strategic leader with an understanding of what exactly led to success or failure, thereby enabling replication of what worked and avoidance of what did not in the future.

### **Evaluate - Organisational Assessment**

Organisational performance in the first instance must be measurable and it is the role and responsibility of strategic leaders to set feasible and attainable performance indicators and measurable outcomes in order that the Defence Forces may be evaluated and its performance measured. Reflection upon performance through these indicators enables the Defence Forces to evaluate and learn, on an iterative basis, how it is performing and to address its failings and weaknesses at various decision points as it strides toward mission accomplishment. The strategic leader must be aware of the need to implement honest evaluations and to engender fresh thinking in order to achieve success and maintain momentum for the timely delivery of specified objectives as outlined in strategy.

### **Evaluate - Future Organisation**

Strategic leaders must reflect on the Defence Forces ability to learn (evaluate) from the past and to reinforce its strengths thus proofing it for the future. The strategic leader must ensure that clear strategic analysis for the future is in place and that there are resilient measures to strengthen the organisation in order to: ensure the ability of the Defence Forces to deliver on its key security and societal outputs, remain relevant and usable for the Irish people, whilst simultaneously contributing to the Government's aim of a streamlined and reformed Irish Public Service.<sup>48</sup> Contingency Evaluation, Planning and Advanced Planning are the most conventional approaches available to the Strategic leader in setting the intent, planning guidance, mission, objectives, resources and endstate for future operational responsiveness of the organisation.

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## **Evaluate - Organisational Resilience to Strategic Shock**

Strategic shocks are described as a distortion of the norm or outside the realm of normal organisational analysis, “by definition, strategic shock being unexpected and unpredictable”.<sup>49</sup> It may take the form of a realisation of a sudden unanticipated change of threat; an unanticipated organisational vulnerability or it may arise as a sudden change to the Contemporary Operating Environment, the political or economic environments. Invariably, shock of this nature demands a robust strategic response, which falls to the strategic leader. This may require an organisational re-orientation or restructuring in order to confront the challenges presented by this shock, which differ from the normal or more routine organisational responses. Encouragement of deliberate contemplation and evaluation of non-conventional organisational threats will assist strategic leaders prepare for this and instil organisational resilience to potential shock.

## **ACHIEVE**

Achieving the Defence Forces vision and associated strategy is dependent on its political acceptability, its suitability and the availability of required resources. Most importantly, the strategy and associated objectives must be achievable within the limits of acceptable risk as politically determined. Strategic leaders must synchronise the efforts of the Defence Forces with the Department of Defence and when necessary with those of other government departments to achieve the end-state envisioned by Government. To operate and be effective in the international environment under the auspices of the UN, EU, OSCE and NATO PfP, strategic leaders require an international perspective and an ability to foster appropriate relationships with other Armed Forces. Strategic leaders use the Defence Forces strategic planning tools such as Strategy Statements, Transformation Agenda, Annual Plans, Defence Forces Orders, Directives, Procedures and Work Reference documents to provide purpose and direction to subordinate leaders.

Issuance of direction in the form of strategy statements are central to the internal alignment of the Defence Forces, and hence the achievement of goals. Analytical toolsets to assist decision making in the formulation of Defence Forces Strategic Planning Framework include:

- The Military Decision Making Processes;
- Strategic Risk Analysis, Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis;
- Political, Economic, Social, Technical, Legal, Environmental – Military (PESTLE-M) analysis;
- Diplomatic, Information, Military and Economic (DIME) analysis amongst others.

The considerations for the strategic leader in achieving the strategy include:

### **Achieve - Capability and Responsiveness**

Strategic leaders are required to ensure the organisation has the resources, operational readiness and capabilities to meet its national and international obligations on a daily basis. Contingent capability provides the platform to meet the short term challenges of the Defence Forces but the strategic leader is required to ensure that capability development is focused on the medium to long term strategy and objectives.

### **Achieve - Strategic Decision Making**

Strategic decisions are generally not straightforward. Political astuteness, acceptance of risk and above all focusing on what is best for the Defence Forces and the State will enable the strategic leader to make informed strategic decisions. These decisions are enabled through thorough collaboration with key staff. In addition, context and coherence are key factors which will enable timely, balanced and appropriate decision making by the strategic leader.

### **Achieve - Internal Alignment**

Internal alignment is the focused integration of personnel and systems with the strategic vision and plan. Effective communication is critical to the internal alignment of the Defence Forces with the strategic vision and the Defence and Security strategy. Elements such as formal policy and doctrine,

resource allocation and control, and performance management enable strategic leaders to align the organisation to this strategy and its objectives. Drive, commitment, persuasiveness and networking ability will assist the strategic leader gain support and internal alignment for the strategic vision.

### **Achieve - Adaptability**

The Defence Forces is imbued with particular characteristics or operational tenets. These include; Flexibility, Deployability (and related states of readiness), Sustainability, Interoperability and Adaptability. These tenets are central to the effectiveness of the Defence Forces in meeting the Government's security objectives. Adaptability is key to meeting new challenges and having the ability to respond to changing demands. This requires careful marshalling by the strategic leader who must consider the internal and external effects of any change. The relevance of any demand and subsequent change to strategy or goals must be considered in the context of the delivery of results or achievement of goals. In broad terms, strategic leaders must ensure that the strategy and objectives are pragmatic and capable of facilitating change. Chapter 9 develops this theme further.

### **A Final Note to the Strategic Leader**

This chapter outlined the importance of the roles of Strategic Leaders in the Defence Forces. It set the parameters by which strategic leadership must be practiced in order to Influence, Develop, Evaluate and Achieve, thus improving the organisation. Strategic leaders must evaluate themselves, the internal processes of the Defence Forces and the complexities of the external environment so that they are in a position to be effective. Values based leadership requires strategic leaders to have well developed attributes and competencies which are utilised under the banner of influencing, developing, evaluating and achieving. As discussed in this chapter, competencies, which are relevant at all levels of the Defence Forces, are applied with different perspective and emphasis at the strategic level. They are weighted by the strategic context and the necessity for greater interaction with external actors and the external environment. The strategic leader will have experience at the tactical, operational and strategic levels and therefore, should constantly strive through self-awareness and evaluation to recognise personal and subordinates skills deficits. These must be addressed through the creation of a command climate, coupled with thorough strategic guidance, direction and timely decision making. **Every leader should recognise that, an appreciation of the uncertainty of outcomes or the future, is the reason to strategise in the first instance.**

Having examined the three levels at which leadership is applied the final chapter will look at additional contextual factors ranging from diversity to cultural awareness relevant to successful leadership in the Defence Forces.





# CONTEXTUAL FACTORS IN LEADERSHIP

*Leadership is **influencing** people by providing purpose, direction and motivation; **developing** and **evaluating** the individual, unit and organisation; while **achieving** the mission.*

## INTRODUCTION

Previous chapters in this doctrine outlined influential factors that impact on leaders. This chapter examines contextual factors that are relevant to the strategic, operational and tactical leader. These are generic or holistic in nature and include: followership, cultural awareness and alignment, groupthink, dysfunctional leader behaviours, conformity, social loafing, diversity and gender balance and overcoming fear. Leaders must manage the health of their command, including stress and risk. The transformation of the workplace with information technology and other contemporary influences has changed the Defence Forces dramatically and each day presents new leadership challenges. The chapter concludes with organisational development to support a leadership best fitted for this transformation.

## Context

**Leaders must practice ‘Life Long Learning’ as part of a Learning Organisation, be true to themselves, be emotionally intelligent and self aware and apply doctrine as appropriate.**

While the Defence Forces Leadership Framework provides guidance for leaders in their approach, the appropriate leadership style and behaviour will often be influenced by contextual factors within the Contemporary Operating Environment. Leaders must be aware of these factors, understand them and know how to use their impact to good effect. Some of these factors highlight how leaders must be aware of who they are leading, their skill levels, the culture, climate and diversity within the group, and how these might impact at their leadership level. The new realities of technology and knowledge based processes have implications for operations. The concepts of Transformation, Network Enabled Operations and Effects Based Operations are challenges presented by this technological revolution. These challenges require continuous affirmation of our values, reflection on our attitudes and critical examination of our assumptions.

## Followership

Followers are the most important component of the leader’s role for “without followers there would be no leaders.”<sup>50</sup> Almost everyone in the Defence Forces is a follower. Regardless of rank or experience there is almost always someone to whom we are under command and therefore we fulfil the role of follower. **An effective follower is someone who actively supports their leader and is effective in their own right.** They demonstrate responsibility to the leader and organisation by acting in their leader's best interests by offering good advice and critical opinion when necessary. Put simply, followership is the ability or willingness of an individual to follow someone in a leadership role. The behaviour and attitude of an individual as a follower is in itself a leadership role as it gives proper example to other followers thus shaping their behaviour in turn. Defence Forces personnel who are followers are expected to act professionally and in accordance with our values. The purpose of good followership is not merely to support the leader but to provide input, to actively participate in and to assist mission accomplishment. This enables delivery of effective leadership by integrating followers and leaders.

## Culture – Towards a Learning Organisation

Traditional military organisations were characterised by hierarchical structures where followers and leaders are integrated with strategy formulated at the top, centralised decision making and a rigid or at least conservative culture. These characteristics, although excellent for producing consistent



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and reliable results, are not necessarily suited to dealing with knowledge intensive and turbulent environments, where organisations that are flat, flexible, adaptable and able to modify procedures to reflect new knowledge are likely to prosper. The term 'Learning Organisation' describes these types of organisational cultures, and the behaviours required to anticipate and adapt to environmental change rather than just react can be challenging.<sup>51</sup> These behaviours include:

- Encouraging critical and creative thought
- Taking appropriate risks to explore opportunities
- Creating a climate conducive to individual and team learning
- Encouraging learning from mistakes rather than a culture of blame
- Providing incentives for learning, experimentation and innovation.

### **Barriers to Cultural Alignment**

Chapter 7 suggested that an appreciation of the three Service cultures is necessary when leading in the joint environment. While the Service cultures may differ, they must be aligned to the Defence Forces values and mission. All Defence Forces members must pull in the same direction and share the same purpose and as the Defence Forces is a learning organisation all members must agree on appropriate methods to achieve this task. Defence Forces leaders must be conscious of some of the universal barriers to cultural alignment (or 'habits' that allow members to pull in different directions) including entrenched 'group or tribal' positions, cultural resistance to change, alternative value sets, and the normally positive 'can-do' attitude.

**Tribal Natures.** The different Service cultures derive from the function of that particular Service. For example the Naval Service developed its culture from service at sea as the sister Services developed their culture from their environments. Cultural differences also flow from distinctive features of leadership in the Services, derived primarily from experience. The inter-service distinctions (soldier, sailor, and aircrew) and the varying professional focus (gunner, logistician, engineer, winchman, artificer, com-op etc.) create further sub-cultures within each Service. Conceivably, these distinctions can create levels of expectation or acceptance depending on the 'group' and this tribal nature can act against cultural alignment. Although it would be naive to deny these perceptions exist, leaders must suppress cliques, nepotism and elitism.

**Culture and Resistance to Change.** Resistance to change sometimes appears irrational and self-defeating, but will be understood by studying the organisational culture. Culture can be defined as the values shared by the organisation's members and the tacit assumptions or unspoken rules which may only be evident to those who are serving in the organisation the longest. Cultural identity gives the group stability and cohesion as well as differentiating it from other groups. Large organisations may have additional, discrete sub-cultures and climates around the sub groups which exert a stronger influence than the organisation as a whole. Challenge the culture and the group will defend it.

**Changing Culture.** Culture develops as a result of individual and shared experiences over time which are passed on to other members of the group. Among the factors which illustrate an organisation's culture are rituals and routines, stories, symbols, organisational structures and relationships and power. These physical manifestations of culture may be easily recognised, but the 'under the water line' assumptions which have a deeper influence on behaviour and attitudes may be harder to recognise, understand and unravel. When the prevailing culture has become destructive or a hindrance to the direction that the organisation must take to adapt and survive then it is the function of the leader to change the culture. Real change is a transformation of attitudes, norms, institutions and behaviours that structure daily lives. It embraces new cultural patterns, institutional arrangements and new psychological dispositions. The measure of success is whether the leader creates 'trust' that influences substantially the behaviour and attitudes of everyone in terms of example, of adherence to policies on safety and equal opportunities. **Schein suggests that the most important thing that leaders do is create and change culture and it is that orientation that distinguishes them from mere managers.**<sup>52</sup>

**Alternative Value Sets.** The cultural alignment with organisational values is not so much to do with the list of values, but more how these values are sometimes 'side-lined' by, or mutate into, alternative value sets. The values espoused by the Defence Forces, such as 'selflessness' and 'integrity', may not necessarily be the values that are rewarded within the organisation by all individuals, teams, sub units and units, where the 'values' of competition, hierarchy and power may dominate. More telling is when espoused values are publicly stated but privately punished. Value conflicts arise not so much when there is a choice between good and evil but rather when there are grey choices; for example, when loyalty (a value) to a friend who has done wrong, is in conflict with one's own value of 'integrity.' Turning a blind eye to this wrong doing may directly conflict with the correct and normal action required. Another example of value conflict occurs when an individual's innovative idea is in conflict with the group's concept of teamwork. New ideas may be swamped by 'groupthink'. Although there is no golden rule for knowing 'the right thing to do' in ambiguous situations, be guided in these circumstances by placing **the value 'integrity' as first amongst the other Defence Forces values.**

**Can do attitude.** The ability to achieve a task or mission on time, no matter the resource challenge, the 'can do' attitude is a source of professional pride in the Defence Forces. Such challenges can generate trade-offs, and in safety critical domains these compromises may eventually come at a great cost. While the Defence Forces views this 'can do' attitude positively, members routinely applying a 'can-do' attitude may be blind to the subtle build-up of risk, shortcuts or exhaustion that can cause accidents, injury or death. Leaders must feel proficient and confident enough to communicate resource implications to superiors. Associated with this 'can-do' attitude is the pressure put on leaders to accomplish tasks. If the leader points out concerns, they can be replaced, with obvious implications. The alignment required to deal with the 'can-do' attitude relates to balancing the productivity of the task with a risk management approach. Culture has been described as 'the way things are done around here'. Accepting this as the essence of the Defence Forces culture, then **cultural alignment is making sure that 'the way' is safe, based on agreed ethical principles and that the 'things' are of value to the Defence Forces, Government and Irish people.**<sup>53</sup>

### Why Teams Fail

While teams and teamwork are highly valued within the Defence Forces, they can fail and there are many examples in history of where teams have failed and performed less effectively than a group of individuals. Janis<sup>54</sup> cites the Pearl Harbour defence failure of 1941 as one of the five fiascos used as examples of groupthink and reasons why teams fail. Considerable research has been conducted in this area and it can help to explain why team dynamics can cause teams to fail. Defence Forces leaders should have an awareness of this research.

### Groupthink

Groupthink is a process whereby a group is so highly cohesive that it believes itself to be right which consequently results in flawed decision-making. Groupthink is described by Janis as a mode of thinking. This may arise when the group;

- Underestimates the belligerent
- Fails to recognise risk
- Overestimates their own skill
- Silences internal critics or pressurises towards conformity.

*"...a mode of thinking that people engage in when they are deeply involved in a cohesive in-group, when members' striving for unanimity override their motivation to realistically appraise alternative courses of action."*

Janis, I 1982

Groupthink helps to explain some of the poor decisions that have been made within military groups at every level. Leaders and followers must help to prevent groupthink by re-examining planned courses of action, providing a team culture whereby questions are accepted, wargaming within the group and encouraging junior members to voice opinions first. Counteracting tendencies for

groupthink can be achieved through thorough and vigilant evaluation, a key tenet of our leadership framework.

### Conformity

Conformity is the tendency of individuals to conform to the attitudes and behaviours of others, even when they know it is wrong. While it is to be encouraged during socialisation and in making the change from civilian to military life, conformity can be unwelcome when it leads group members to act in unethical ways. In some groups conformity may compromise values so that they no longer represent their common meaning but instead take on a meaning particular to that group. **In such groups courage can be seen as stupidity, cowardice can be seen as cunning and cruelty can be seen as daring.**<sup>55</sup>

### Social Loafing

Social loafing is where people tend to exert less effort when working in a group than when working as individuals. It is more likely to occur when individual contribution to the group is not measured and when the task is boring or unimportant (interior economy). Social loafing is less likely to happen in highly valued, cohesive groups. Leaders reduce social loafing by building cohesiveness and identifying individual contributions and responsibilities.

### Dysfunctional Leadership Behaviours

Although people think that leadership is for the good of the individual, unit and organisation, some leadership behaviours, intentionally or otherwise, result in negative or unethical outcomes. Three areas of dysfunctional leadership are: self-serving leadership, an aggressive task-focus and the suppression of moral development in subordinates by the overuse of autocratic leadership styles.<sup>56</sup>

#### TOXIC LEADERSHIP

*“Destructive leaders are focused on visible short-term mission accomplishment...they are unconcerned about, or oblivious to, staff or troop morale and/or climate. They are seen by the majority of subordinates as arrogant, self-serving, inflexible and petty.”*

**Self-Serving leadership.** Leaders must guard against their own sense of self-importance and recognise that leadership is about serving others, not serving themselves. All leaders need self-awareness, confidence and ambition, however leader narcissism can be damaging to subordinates and the organisation. Self-serving leaders tend to ‘personalise’ their unit vision, pursue results for their own benefit and are contemptuous towards those that oppose them. Their behaviour can be subtle, as they are good at image management and surround themselves with ‘yes-men’. They use stereotypes to describe others and ingratiate themselves with their followers through appealing to the group’s uniqueness. They influence by emotional appeals rather than by rational argument. They are therefore more likely to engender envy, greed, hate and conflict rather than altruism, harmony and cooperation. Self-serving leadership has implications for its impact on people and their willingness to stay and perform. The Defence Forces condemns self-serving leadership and supports values based leadership where leader’s values reflect social responsibility and benefits the greater good.

**Aggressive task focus.** At times, leaders are required to drive their subordinates hard. However, impressive short-term results may be achieved with a legacy of long-term damage to the individuals involved that is often passed on to the next leader. Leader behaviour has been viewed along two independent variables, one a ‘task focus’, the other a ‘people focus’. The former includes behaviour where the leader defines roles, outlines expectations and achievement. A people focus includes behaviours where the leader encourages participation in decision making and two-way communication. A leader who rewards people focus first is rewarded with lower subordinate grievances and turnover. Conversely, a leader who shows high task focus (alone) is faced with high subordinate grievances and turnover. Periods of high operational tempo are easily weathered when leaders have a foundation of people consideration.

**Suppression of moral development.** Autocratic or directive leadership styles rely on uncritical obedience, reward and punishment, for dependable task completion, potentially at the expense of moral development. The moral development of military personnel can be suppressed by these predominant leadership patterns associated with military service. The Defence Forces encourages a balanced leadership style rather than an overuse of directive and authoritarian styles. It is the balanced leader's responsibility to encourage individuals to advance beyond early moral development towards a more internally controlled state, because when values and behaviours are internalised in the individual and institutionalised in the organisation, the need for regulations and supervision diminishes. An individual then stops defining right and wrong in terms of rules and punishment and instead develops internal moral principles that define right and wrong from a values point of view. An example of this progression is when someone decides not to bully a subordinate because of the value of respect rather than any fear of punishment.

### **Diversity and Equality -The Leader's Responsibility**

Diversity refers to differences among people in terms such as gender, race, religion and sexual orientation. The Defence Forces is a diverse organisation by virtue of the society from which we recruit. As Ireland becomes more multicultural it is inevitable that the Defence Forces will mirror this trend. Leaders must respect the differences that diversity brings. Leaders must be familiar with Defence Forces Regulations and national equality legislation to ensure that individuals are not treated less favourably by virtue of their differences. **While legislation provides a legal imperative, Defence Forces values provide the moral imperative for treating people with respect regardless of race, gender or sexual orientation.**



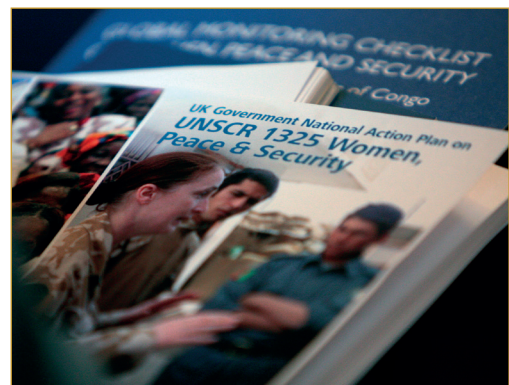
It is important that leaders understand what equality means and how equality principles should be applied. Equality does not simply mean that everyone should be treated the same. Real equality means treating people in such a way that the outcome for each person can be the same, that there are supports in place to make a 'level playing field' e.g. Defence Forces fitness testing.

### **Diversity as a Force Multiplier**

The acceptance of diversity is not only a matter of ethical behaviour and adherence to legislation; it is also about lending leverage to the achievement of organisational goals. Diversity can be of benefit to the Defence Forces in numerous ways and leaders must harness the differences that diversity brings. It can stimulate innovative ways of approaching a task and bring an alternative perspective to a situation. On deployments, diversity within a unit can set an example of equality and acceptance to a local population.

### **Gender and Leadership**

The United Nations Security Council Resolution (UNSCR) 1325, Women, Peace and Security and subsequent resolutions brings focus within the Defence Forces on the promotion of gender perspectives and the role its leaders can play in the agreed pillars of this resolution. UNSCR 1325 highlights the vital role that women can play in conflict prevention, conflict resolution, peace building, and post conflict reconstruction, reform and governance. The Defence Forces subscribe fully to these principles in developing gender awareness training and integrating a gender perspective in its operations.





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The changing nature of war, where soldiers are asked to be “international social workers” and operate in politically sensitive environments, demands that Defence Forces leaders possess a more diverse range of skills than in the past. Military organisations must maximise all leadership resources and cannot afford to lose talented leaders, male or female.<sup>57</sup>

In traditionally male dominated environments, the dynamics of gender and leadership appear quite complex. For example, it has been shown that it can be more difficult for women to be seen as effective when leading in roles that are masculinised or not congruent with their gender. This implies that women leading in the military can face challenges that their male counterparts may not encounter. Hence, women leaders within the Defence Forces may have to work harder to find a personal leadership style that is both effective and authentic. But it also means expanding the traditional concept of a military leader beyond the male stereotypes, and accepting that modern successful military leaders can be female. Therefore, leaders in the Defence Forces must be assessed not on their style or gender but rather on their ability to influence, develop, evaluate and achieve.

### **The Health Of Your Command**

In extremis, the health threat faced by any deployed force is a combination of ongoing or potential belligerent threats; adverse environmental, occupational, geographic and meteorological conditions; endemic diseases; and employment of chemical, biological, radiological, and nuclear weapons. To counter the health threat, leaders have a duty of care to ensure that field hygiene and sanitation, preventive and treatment medical measures, inspections of water and field feeding facilities, sleep discipline and personal protective measures receive command emphasis. A lessons learnt process must be in place and continuously implemented to ensure mistakes are not repeated thereby minimising the threats.

### **Stress**

Stress across the Operational Stress Continuum<sup>58</sup> is a contextual factor that leaders must understand and manage, whether it is within themselves or the organisation they lead. Stress in response to threatening or uncertain situations occurs in all types of military combat, operations and training exercises, including in barracks, airbases, naval bases, on ships, in aircraft, and in home and family life. Stress control does not take away the experiences faced, but provides mechanisms to mitigate reactions to those experiences so that personnel are effective and maintain their quality of life. When preparing for sustained operations, leaders must thoroughly condition their personnel to address stress during all phases of force projection: mobilisation, deployment, employment, sustainment and redeployment. Training to high standards, using scenarios that create the stresses of the actual area of operations, is essential to success. A meaningful exercise with challenges, constraints and high standards of performance induces a basic level of stress. Leaders must add unanticipated conditions to training to create a demanding learning environment.

Defence Forces Administrative Instruction Part 12 defines “Stress [as] the normal psychological and physiological reaction in a person to his or her perception and interpretation of a danger or demand”. Leaders must be particularly aware of the additional pressures that emanate from working in a high operational tempo such as an overseas deployment, boardings at sea or critical air medevac. It is important to be aware that a certain amount of stress can be positive and actually help to increase performance, this is referred to as ‘Eustress’ and is the good stress that motivates you to continue working. Stress can be a motivator and provide incentive to get the job done. Such stress may be seen as a type of pressure or challenge within a situation or relationship and many individuals thrive on it. It is when the amount of stress experienced overwhelms the individual's ability to cope that it becomes problematic. The leader must be cognisant of stress and organisational stressors and utilise available methodologies such as operational and stress debriefings, to alleviate its build up and potential effects.



## Cumulative Stress

Stress is cumulative and can build up slowly over time. Leaders must be aware that this can occur in the day to day working environment and can be just as debilitating as stress experienced after trauma. Events that contribute to cumulative stress can include: illness or death in the family, financial difficulties, a posting that involves separation and even positive events such as taking up a new appointment on promotion or having a baby. In isolation these incidents may not be problematic, but a number of such events occurring together may be overwhelming for some. Cumulative stress can lead to increased sickness levels, absenteeism and substance abuse. **Linked to discussions on stress is the principle of 'work-life balance', but work-life balance can be difficult to achieve within the military.** Work in the Defence Forces encroaches more on family life than many other professions and therefore a leader holds a greater responsibility for monitoring the wellbeing of those they lead.

### HISTORICAL VIGNETTE 15

Operation Pontus, Mediterranean Sea, May to Jul 2015

*I was cognisant of managing my own personal stress, that of the ship's company and migrant stress. I did this through team building by clear and consistent 'up/down' communication. With me, I had confidence in the structures above me at the Operational & Strategic Levels in the Naval Service Command Centre and DFHQ, vis-a-vis clear communication, where support, flexibility and common sense were present. Though I was the Captain of the ship, I was expected to be part of the team and if the team was strong and of one mind, then this 'unity of purpose' would be a support to all of us at times of stress. Across the ship's company, effective crew management and support mechanisms helped to reduce operational stress. Extensive exercising and role play were conducted prior to deployment. We drilled until we got it right. Each of the 22 Search and Rescue operations was followed by a 'lessons learned' process. Lessons learned were implemented immediately. Because of the novel mission, I accepted that mistakes would be made and that personal censure and criticism should not take place. Emphasis was placed on praising achievements. Personnel were rotated through different appointments to ensure variety, and to reduce the stress load in the more demanding tasks (first responders). The ship carried seven trained Designated Contact Persons. With migrant Stress, we assured them that they would be brought to a place of safety and that they would be secure aboard our ship. I had faith in the 'old reliables' of teambuilding, clarity of purpose, the Defence Forces Personnel Support Services procedures and clear R&R periods. Establishing these practices early was paramount to preventing and reducing stress and ensuring mission success.*

Cdr Pearse O'Donnell, Ship's Captain L.É. EITHNE

## Critical Incident Stress

Critical incident stress is stress that occurs as a result of a trauma or an event that overwhelms the available coping mechanisms and potentially interferes with normal functioning. Examples of critical incidents are death or serious injury of a colleague, disasters or multiple casualty incidents and significant events involving children. It is important for leaders to remember that a critical incident can be 'any significant event' that induces critical incident stress. Leaders must familiarise themselves with signs and symptoms of critical incident stress and be able to recognise these in their personnel. Leaders should also seek to develop self-awareness so that they can realise when they are being affected by critical incident stress. This is especially important considering some of the symptoms include lowered concentration, dysfunctional memory, impaired problem solving and difficulty making decisions. Any of these symptoms could have devastating consequences when leading on operations, at home or overseas, on land, in the air or at sea.

## Managing Stress

It is incumbent on leaders to actively consider how they react to and manage stress themselves. They must consider the demands that they place on others and accept the duty of care that exists in this respect. Leaders must be aware of methods of mitigating and managing stress in the workplace. Resilience and Emotional Intelligence, as highlighted in Chapter 5, are Defence Forces leader attributes that can help individuals to deal with stress and identify it in others. Strong leadership, support from team members and belief in the mission all help to mitigate the effects of

stress. Healthy living such as diet, maintaining physical fitness and avoidance of substance dependency are key components of stress management. Where critical incidents are concerned, the Defence Forces operates a Critical Incident Stress Management (CISM) system. Leaders must support this process and set the example in attending and engaging with CISM components such as debriefing sessions. Leaders must also be aware of the services provided by the Medical Corps, Personal Support Services and the Chaplaincy Service.

### Overcoming Fear

Leaders need to understand that danger and fear will always be a part of their profession. Battling fear means recognising and effectively dealing with it. Understanding the situation and acting with foresight and purpose overcomes fear. Defence Forces leaders must expect fear to take hold when setbacks occur, the team, crew or unit fails in its mission, or there are casualties. Fear and the unknown can be terrifying. Personnel who see their friends incapacitated become aware of their own mortality. **Realistic training developed around critical drills improves resilience and instils confidence.** Resilient leaders forge success in chaos to overcome fear, deprivation and fatigue to achieve the mission.

#### HISTORICAL VIGNETTE 16 43rd INF GP, UNDOF

*While en route to an isolated UN position on the Golan Heights my patrol encountered a road block reinforced with landmines and flanked by minefields. While reversing to withdraw we came under fire from insurgents and as the APC gunners returned fire one of the APCs struck a landmine and disappeared in a cloud of dust and debris. My initial emotion was of anger combined with anxiety which became mixed with an almost slow motion awareness of other activity happening in tandem in my vehicle: the roar of the word 'contact' in my earphones, the cloud of dust in my periscope and the sound of machine guns going into action. In those first few seconds, as the rounds struck my APC and the other APCs, I became aware that someone was trying to kill me and that some of my men had possibly been killed or injured. In the next moment and without thinking, these sensations faded as I concentrated on sending clear messages via radio telling the patrol to return fire – withdraw – break contact – treat casualties. I also appreciated that the troops had simultaneously reacted so professionally by automatically carrying out the drills they trained on every day since deployment by transmitting distinct radio messages, returning fire and breaking contact under the cover of smoke. Any fear we had just experienced was very palpable, but afterwards and for the first really apparent time, both my men and I understood the absolute importance of continuous and detailed training.*

Comdt T.C. O' Brien, 43 Inf Gp

### Managing Risk

Risk is 'the effect of uncertainty on the objectives' (ISO 31000: 2009). Risk is present in everything we do and can be viewed as an opportunity as well as threat. Man would never have walked on the moon without taking a calculated risk. **Acknowledging risk is the key.** Risk must be identified, managed, mitigated, eliminated or accepted at the right level while endeavouring to maintain capability, pursue goals and achieve the mission. In the military there are inherent risks in the working environment and inevitably risk must be taken. The aircrew must assess his weather, the sailor must assess the sea-state, the soldier must analyse the terrain and all three must assess the security situation. **It is a moral and legal obligation of every leader in the Defence Forces to manage and mitigate risk at their level.**

*Risk management is the term applied to a logical and systematic method of establishing the risk context, identifying, analysing, treating, rectifying, monitoring and communicating risks that are associated with any activity function or process in a way that will enable the Defence Forces to minimise losses and maximise opportunities.*

GRO 04/2013

The Estimate of the Situation is the primary process where risk on operations is addressed in the Defence Forces. It is the responsibility of the strategic leadership to outline risk management strategies for the organisation to be applied at the tactical, operational and strategic levels. Leaders must recognise that failure to identify, manage, mitigate, eliminate or accept risk can impact on every level. Ultimately, the

aircrew must be prepared to terminate the mission, the soldier to deny an operation, or the sailor to chart a different course if the risk is unacceptable to the individual, unit or organisation.

*"Without risk there is no discovery, there is no knowledge, there is no bold adventure...the greatest risk is to take no risk"*

June Scobee Rodgers

## LEADERSHIP DEVELOPMENT

### Technology

While the stresses and fear of combat have been constant for centuries, another aspect of the human dimension has assumed increasing importance in leadership development: the effect of rapid technological advances on organisations and people. Technological changes and the speed at which they occur require Defence Forces leaders to adapt and respond. With technical specialists, leaders can successfully integrate technology and increase operational effectiveness, survivability and lethality. Technological challenges include:

TECHNOLOGICAL CHALLENGES
<b>Learning:</b> the strengths and vulnerabilities of the technologies that support the organisation and its mission.
<b>Thinking:</b> through how to operate with other less or more technologically complex organisations, including interoperability with our EU CSDP, NATO and UN partners.
<b>Considering:</b> the effect of technology on the time available to analyse problems, make decisions and act. Events happen faster and the stress encountered is greater.
<b>Using:</b> technology to influence dispersed teams given the increasing availability and necessity to use reach back and split-based operations.

**Figure 9.1 Technological Challenges**

One of the outcomes of a technological or information rich world is that information consumes 'the attention of its recipient'. The onslaught of incoming data leads to sloppy shortcutting, like 'triaging' email by heading, skipping much of voice mails, skimming messages and memos. It's not just that we've developed habits of attention that make us less effective, but that the volume of messages leave us little time to reflect on what they really mean.<sup>59</sup>

Leaders must understand these challenges and the fine line between a healthy questioning of new systems' capabilities and an unreasonable hostility that rejects the advantages technology offers. Technology has increased the complexity of skills the Defence Forces require. Leaders must carefully manage low density occupational specialties and fill critical positions with people who maintain currency in these perishable high-tech skills. Defence Forces leaders must balance leadership, human resource and training management to ensure they have the people with the appropriate skill sets and that the organisation is operationally ready.

### TECHNOLOGICAL CHALLENGES

*"Some commanders view the new connected social environment as simply a leadership challenge that can be controlled, perhaps by limiting soldiers' access to social media. This is a futile attempt to live in the world of the past...the benefits of hyper-connectivity for individual soldiers shouldn't outweigh the collective costs of social cohesion and its proven value to combat effectiveness."*

Major John Spencer (US Army)

### Adaptability

Adaptability requires that the Defence Forces can rapidly adjust to new demands and tasks as it encounters new actors in operational scenarios. In a new context, where the pace of technological change and innovation is increasing, the Defence Forces must seek to maintain sufficient capability that allows it counter evolving threats. Defence Forces personnel will require agility and anticipation in thinking to be able to cope with unclear, constantly changing situations so as to act in a way that mitigates or outmatches the threat encountered. In future multi-faceted operations, adaptability may mean shifts in tasks across a spectrum of conflict, from security to stabilisation and humanitarian tasks, while preserving the forces primary military ethos.

**Adaptive leadership includes being an agent of change.** This means helping strategic and operational leaders recognise that an environment is changing and building consensus as that change occurs. Depending on the immediacy of the problem, adaptive leaders may use several methods for influencing their organisation, ranging from crisis action meetings (when time is short) to engagement in longer term strategy documents including White Papers, that convey the need for change. Leaders lacking adaptability enter every situation expecting past experiences in one job to carry them through the next or thinking ‘we have always done it this way’. Failure to adapt may result in poor performance while adapting does not guarantee that change will improve results. Indeed sometimes, persistence on a given course of action may have merit over change. It is the leader’s job to know the difference.

Adaptability has two key components: the ability to identify the essential elements critical for performance in each new situation and the ability to change practices or the unit by quickly capitalising on strengths and minimising weaknesses. **Like self-awareness, adaptability takes effort.** Adaptability is encouraged by open-mindedness, the ability to consider multiple perspectives, not jumping to conclusions about a situation, willingness to take risks, and being resilient to setbacks. Figure 9.2 outlines some key elements for adaptable Defence Forces leaders to consider:

ADAPTABLE LEADERS
<b>Embrace opportunities to adapt:</b> Go beyond what is comfortable and experience the unfamiliar through diverse challenges. Recognise and accept that no plan survives first contact. This can be mitigated by being adaptive in training, introducing variety and avoiding routine.
<b>Embrace Life Long Learning:</b> Do not remain safely inside the comfort zone provided by a current level of education, training and experience. This may lead to failure to recognise or understand changes in their environment.
<b>Embrace Diverse Relationships and Cultures:</b> Actively seek out diverse relationships and situations to gain insight into people who think and act differently.
<b>Seek Challenges.</b> Seek out and engage in assignments in different environments. Leaders can be specialists, but their experience should still be broad. Accumulated experiences improve the capacity to adapt and to develop adaptable subordinates.

**Figure 9.2 Adaptable Leadership**

### Innovation

Innovation is the ability to introduce something new when needed or as opportunities arise. **Leaders at all levels and at all ranks within the Defence Forces should aspire to be innovative.** Leaders tend to be inquisitive and problem solvers. Being innovative includes creativity in producing original and worthwhile ideas. Creative thinking is developing new ideas and approaches to accomplish missions. Creative thinking uses adaptive approaches (drawing from previous circumstances or experiences) or innovative approaches in developing completely new ideas. Innovative leaders prevent complacency by finding new ways to challenge subordinates with forward-looking ideas. **To be innovators, leaders rely on intuition, experience, knowledge and input from subordinates, and reinforce team building by making everybody responsible for and stakeholders in the innovation process.**

### Leadership Development Sources

Like other life skills, leadership within the Defence Forces is developed from a variety of sources including:

- Exposure to other leaders through job rotation and mentoring
- Structured opportunities to take responsibility for people including operational experience
- Formal leadership training
- Examination of the leadership performance of others via lessons learnt, case studies and professional reading, and less-structured opportunities for reflection on leadership performance
- Feedback on individual leadership performance through annual appraisal reporting and superior/peer feedback, coaching and mentoring.



Leadership development must provide progressive direction through the course of a career in order to maximise the potential of a leader. Without specific development activity, some leaders will naturally update their internal theories effectively, some will reflect on their actions, others will seek self-awareness and feedback, some will continually learn and others will be just lucky. Most will benefit from leadership development courses at appropriate points throughout their careers. Time away from the workplace is required to conduct a critical self-examination of personal understanding of how leadership works.

*An uncompromising goal to make "of each individual member of the army a soldier who, in character, capability and knowledge, is self-reliant, self-confident, dedicated and joyful in taking responsibility as a man and as a military leader."*

Hans von Seeckt,  
Order of the Day, 1 Jan 1921

Evidence suggests that succession planning and developing leaders is critical to successful organisations. Central to this planning and development are appraisals, feedback, coaching and mentoring. Coaching and Mentoring are personnel centric processes used by leaders to enhance learning and development (See Chapter 4 for definitions). Coaching and mentoring are only possible when used in willing relationships. In these instances no two relationships will be the same. The end result should involve learning and development, leading to positive change in the coachee and mentee and frequently in the case of the coach and mentor.

**Mentoring** is generally the less formal process that can be chosen by both parties as a result of a current or previous positive working relationship or friendship. Mentoring is normally a less experienced person learning from the more experienced person over a period of time as a result of a series of meetings, discussions or social interactions. This process can happen in an ad hoc manner or it can be a more structured process.

**Coaching** is a more formal and structured process in which the coach and coachee seek engagement. Coaching can be used effectively on a one-to-one basis or in a team (Unit) scenario. It opens with a formal contracting piece explaining the potential of coaching to all concerned and will normally be focused on a work related goal(s) identified by the coachee. The parameters within which coaching will take place must be aligned to the identified organisational and personal goals. This alignment is very important as it can, if successful, allow the coachee to learn and develop in synch with the team and the organisation. Leaders should recognise that the coaching process can have a powerful positive effect on personnel satisfaction and retention in the organisation.

## Conclusion

Leadership is a very rich and complex subject. To practice it requires skill, reflection and imagination that is part of life long study, training and experiential learning. Reflection generally refers to what has already happened while imagination refers to what might happen in the future. The issues discussed in this chapter will have already occurred to some readers while other readers may confront them in the future. There are many areas of context and contemporary issues for leaders to consider and those outlined are by no means the limit. Future iterations of this publication will enhance this current publication and address additional issues. Indeed, leaders are invited to reflect and ponder what issues may surface in the future and submit their thoughts for inclusion in the next publication.





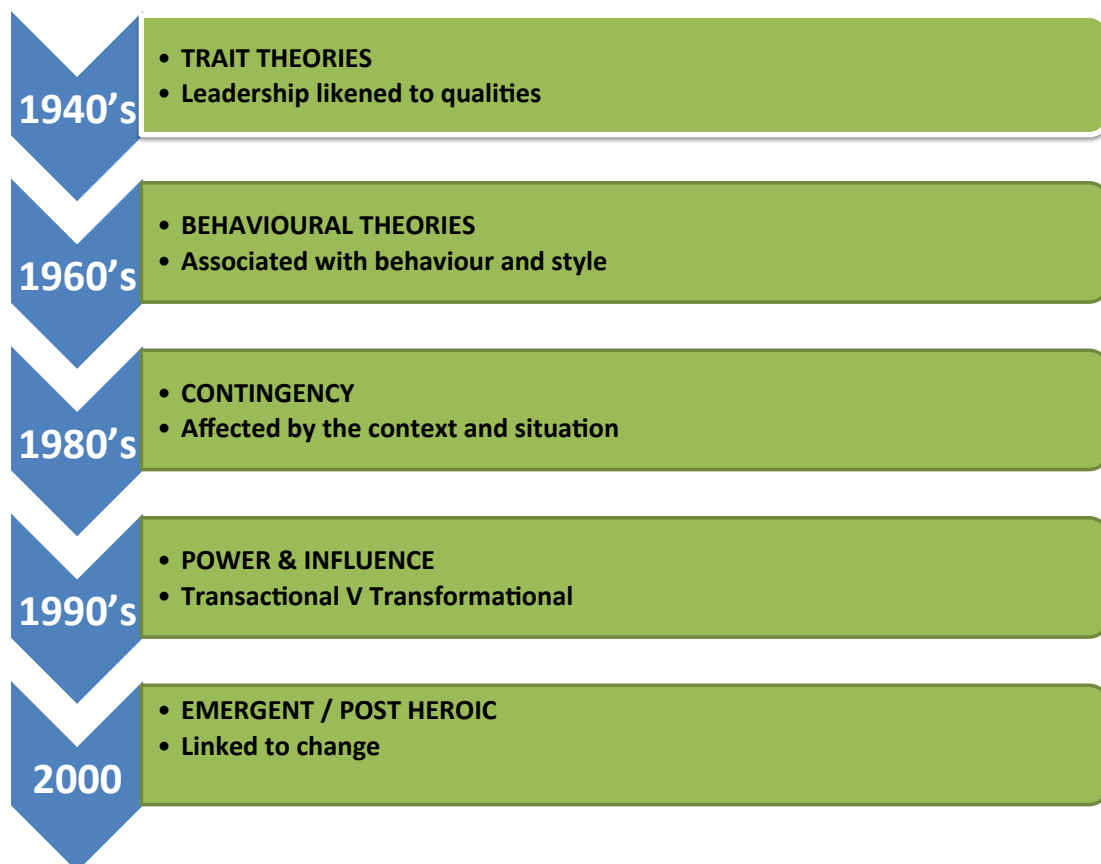
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# THEORY OVERVIEW AND DEVELOPMENT

## Introduction

Leadership is one of the core fundamentals upon which the military functions, and as the academic world has progressed its thinking in many social and scientific disciplines in the last fifty years, so too has the inquiry into the nature of leadership in a civilian and military domain. As a result of the development of thought our understanding of the intricacies of leadership in a complex and rapidly changing society has been broadened and enlightened. Since the 1940s there have been five 'generations' of theory (Figure 1) and it is important to understand that none of the five 'generations' are mutually exclusive or totally time bound.



**Figure 1: Leadership Development**

Effective and reliable leadership in a modern multidimensional environment requires the traditional qualities of courage and confidence but also emotional intelligence and other relational skills. The purpose of this overview is to track the evolution of the discipline, outline the more significant trends in leadership research and writing, and provide a framework for understanding and contextualising leadership development. Figure 1 traces the general evolution of leadership theory while Table 1 gives an overview of the leadership theory and styles covered in this annex.

The significant trends in leadership theory reveal an evolving series of 'schools of thought' from "Great Man" and "Trait" theories to "Transformational" leadership (Table 1). Whereas early theories tend to focus upon the characteristics and behaviours of successful leaders, later theories begin to consider the role of followers and the contextual nature of leadership. At the outset this annex

expands on some of the more popular theories while concluding with an explanation on how the more prominent theory is enabled in certain leadership styles.

GREAT MAN THEORIES	Based on the belief that leaders are exceptional people, born with innate qualities, destined to lead. The use of the term 'man' was intentional since until the latter part of the twentieth century leadership was thought of as a concept which is primarily male, military and western. This led to the next school of Trait Theories.
TRAIT THEORIES	The lists of traits or qualities associated with leadership exist in abundance and continue to be produced. They draw on virtually all the adjectives in the dictionary which describe some positive or virtuous human attribute, from ambition to zest for life.
BEHAVIOURAL THEORIES	These concentrate on what leaders actually do rather than on their qualities. Different patterns of behaviour are observed and categorised as 'styles of leadership'. This area has probably attracted most attention from practising managers.
CONTINGENCY THEORY	This is a refinement of the situational viewpoint and focuses on identifying the situational variables which best predict the most appropriate or effective leadership style to fit the particular circumstances.
SITUATIONAL LEADERSHIP	This approach sees leadership as specific to the situation in which it is being exercised. For example, whilst some situations may require an autocratic style, others may need a more participative approach. It also proposes that there may be differences in required leadership styles at different levels in the same organisation.
TRANSACTIONAL THEORY	This approach emphasises the importance of the relationship between leader and followers, focusing on the mutual benefits derived from a form of 'contract' through which the leader delivers such things as rewards or recognition in return for the commitment or loyalty of the followers.
TRANSFORMATIONAL THEORY	The central concept here is change and the role of leadership in envisioning and implementing the transformation of organisational performance.
DISPERSED LEADERSHIP	This approach argues a less formalised model of leadership where the leaders' role is dissociated from the organisational hierarchy.
EMOTIONAL LEADERSHIP	By having more emotional intelligence, self-awareness, awareness of others and systems awareness and by better understanding and monitoring emotions the potential for more effective leadership is greater.
EMERGENT NEW LEADERSHIP PARADIGMS	These approaches emphasise more inclusive and collective forms of leadership.

**Table 1: The Evolution of Leadership Theory**

## GREAT MAN THEORY

The first theories that developed were called “Great Man” theories because they focused on identifying the natural qualities and characteristics possessed by great social, political and military leaders including men like Alexander the Great, Abraham Lincoln, Mahatma Gandhi and Napoleon. The orientation implies a belief that leaders are born and not made. These leaders are cited as naturally great leaders, imbued with a set of personal qualities that set them apart from others. Even today, the belief that truly great leaders are born is common. During this time research progressed to determining the specific traits that clearly differentiated these leaders from followers.

## TRAIT THEORIES

The Trait Approach arose from the “Great Man” theories as a way of identifying the key characteristics of successful leaders in the business, political and military spheres (Table 2). It was theorised that people were born with these traits. However, after several years of such research, it became apparent that no consistent traits could be identified which could be applied to every situation.

Traits	Skills
<ul style="list-style-type: none"><li>- Adaptable to situations</li><li>- Alert to social environment</li><li>- Ambitious and achievement-orientated</li><li>- Assertive</li><li>- Cooperative</li><li>- Decisive</li><li>- Dependable</li><li>- Dominant (desire to influence others)</li><li>- Energetic (high activity level)</li><li>- Persistent</li><li>- Self-confident</li><li>- Tolerant of stress</li><li>- Willing to assume responsibility</li></ul>	<ul style="list-style-type: none"><li>- Clever (intelligent)</li><li>- Conceptually skilled</li><li>- Creative</li><li>- Diplomatic and tactful</li><li>- Fluent in speaking</li><li>- Knowledgeable about group task</li><li>- Organised (administrative ability)</li><li>- Persuasive</li><li>- Socially skilled</li></ul>

**Table 2: Leadership Skills and Traits (Stogdill, 1974)**

The difficulty with the trait approach is that it does not take different situations into account and there is no definitive list of traits. Some however, did appear more frequently than others, including: technical skill, sociability, self confidence, application to task, group task supportiveness, emotional control, determination, general charisma and intelligence. In general the trait approach provides some direction by identifying possible traits that are necessary to become an effective leader and to assist individuals and organisations to develop self awareness and their own leadership profiles.

## BEHAVIOURAL THEORIES

As the early researchers ran out of steam in their search for traits, they turned to what leaders did – how they behaved (especially towards followers) and this was categorised into task behaviour and relationship behaviour. They also moved from leaders to leadership, which became the dominant way of approaching leadership within organisations in the 1950s and 1960s. After the publication of the late Douglas McGregor's classic book *The Human Side of Enterprise* in 1960, attention shifted to the ‘behavioural theories’.

The most publicised concept is McGregor's thesis that leadership strategies are influenced by a leader's assumptions about human nature. McGregor summarised two contrasting sets of assumptions made by managers in industry (Table 3). It can therefore be seen that a leader holding Theory X assumptions would prefer an autocratic style, whereas one holding Theory Y assumptions would prefer a more participative style.

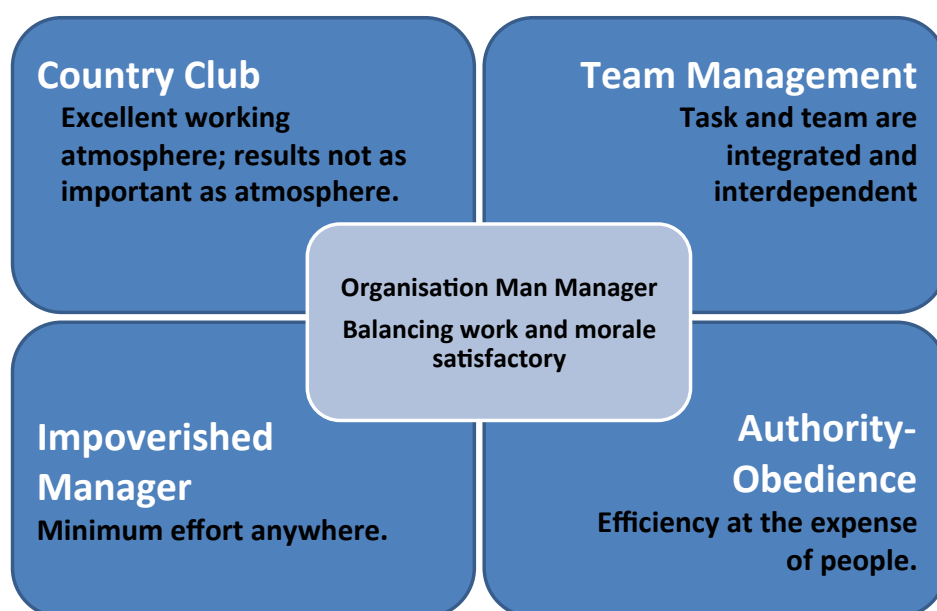
Theory X managers believe that:	Theory Y managers believe that:
<p>The average human being has an inherent dislike of work and will avoid it if possible.</p> <p>Because of this human characteristic, most people must be coerced, controlled, directed, or threatened with punishment to get them to put forth adequate effort to achieve organisational objectives.</p> <p>The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all else.</p>	<p>The expenditure of physical and mental effort in work is as natural as play or rest, and the average human being, under proper conditions, learns not only to accept but to seek responsibility.</p> <p>People will exercise self-direction and self-control to achieve objectives to which they are committed.</p> <p>The capacity to exercise a relatively high level of imagination, ingenuity and creativity in the solution of organisational problems is widely, not narrowly, distributed in the population, and the intellectual potentialities of the average human being are only partially utilised under the conditions of modern industrial life.</p>

**Table 3: Theory X and Y Managers (McGregor, 1960)**

### Blake and Mouton's Managerial Grid

The Managerial Grid developed by Robert Blake and Jane Mouton focuses on task (production) and employee (people) orientations of managers, as well as combinations of concerns between the two extremes (Figure 2). Blake and Mouton propose that “Team Management” - a high concern for both employees and production - is the most effective type of leadership behaviour.

The managerial grid is based on five core styles of leadership measured against two axes, Concern for People and Concern for Production, rated from 1-9. Task oriented leaders who score 9.1 show a maximum concern for production, the things the organisation does and a minimum for human aspects, such as establishing and maintaining good working conditions. People oriented leaders demonstrate the opposite. A leader rated 1.1 demonstrates such a low profile as to be uninvolved, removed from responsibility and therefore ineffective. The centre spot of 5.5 seems to represent a balanced approach with an ability to match an appropriate style to the circumstances, but a darker view is that this type of leader is a conformist to the status quo. Those scoring 9.9 are both task orientated and encouraging, seeking success through the participation and commitment of all who can contribute.



**Figure 2: Blake and Mouton Managerial Grid**



## CONTINGENCY THEORIES

Contingency-situational theories were developed to indicate that the style to be used is contingent upon such factors as the situation, the people, the task, the organisation, and other environmental variables. The ability of leaders to work in different ways also changing their style to suit the situation led to the development of a contingency approach. Fiedler (1967) examined the influence of the leader's style and the situational aspects (Figure 3), concentrating on leader-member relations, task structure and positional power, proposing that leadership effectiveness is a function of the match between a leader's style and the leadership situation. This section will briefly outline some offshoots under the contingency banner which have been further developed in the modern era. They include servant leadership, leaders and followers and the following part of leading and team leadership.

## SITUATIONAL LEADERSHIP

This theory follows the logic that different situations require different kinds of leadership. It is centred on the premise that a leader will be required to focus leadership skills depending on the ability and commitment of the follower. The Hersey-Blanchard Leadership Model takes a situational perspective of leadership. This model (Table 4) posits that the developmental levels of a leader's subordinates play the greatest role in determining which leadership styles (leader behaviours) are most appropriate.

Directive Behaviour	Supportive Behaviour
One-Way Communication	Two-Way Communication
Followers' Roles Clearly Communicated	Listening, providing support and Encouragement
Close Supervision of Performance	Facilitate interaction Involve follower in decision-making

Table 4: The Hersey-Blanchard Leadership Model

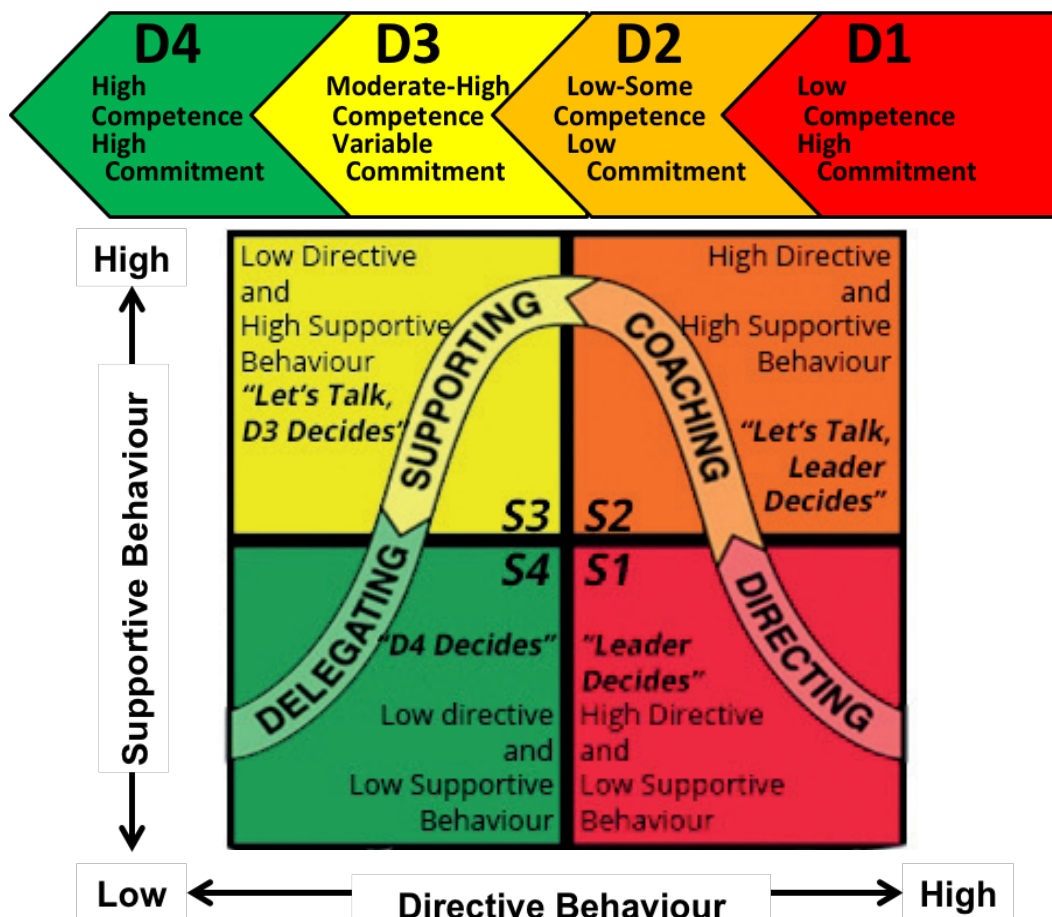


Figure 3: Situational Leadership – The Four Styles. Hersey & Blanchard (1988)

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For Blanchard the key situational variable, when determining the appropriate leadership style, is the readiness or developmental level of the subordinate(s). As a consequence, four leadership styles result as identified in the model below.

Hersey & Blanchard (1998) adapted the behaviourist grid with two measurable variables for Supportive and Directive Behaviour. In addition, however, they take into consideration an analysis of the level of development of subordinates within the Organisation. This is depicted over four stages of development indicating the levels of competency and commitment as follows. D1 indicates Low Competency and High Commitment, D 2, the least developed, indicates Low Competency and Low Commitment, D 3 indicates High Competency and Low Commitment and finally D4, the highest level of development, indicates High Competency and High Commitment.

These levels of Development are most efficiently addressed by four identified Leadership Styles situated against two behavioural axes of Supportive and Directive Behaviour (see Figure 3 above). These styles are Delegating (Low Supportive / Low Directive); Supporting (High Supportive / Low Directive); Coaching (High Directive / High Supportive) and Directing (High Directive / Low Supportive).

**Directing:** The leader provides clear instructions and specific direction. This style is best matched with a low follower readiness level.

**Coaching:** The leader encourages two-way communication and helps build confidence and motivation on the part of the employee, although the leader still has responsibility and controls decision making. This style is best matched with a moderate follower readiness level.

**Supporting:** With this style, the leader and followers share decision making and no longer need or expect the relationship to be directive. The participating style is best matched with a moderate follower readiness level.

**Delegating:** This style is appropriate for leaders whose followers are ready to accomplish a particular task and are both competent and motivated to take full responsibility. The delegating style is best matched with a high follower readiness level.

### **Leaders and Followers**

The models discussed so far have dwelt on the leader as some frontal figure who stands out from the rest as being somehow different and “leading” the rest of the people. Although the concept of followership is not entirely new (identified in transformational leadership) it has taken on new interest in modern leadership analysis. New theory recognises the importance of the leaders’ relationship with his/her followers and an interdependency of roles. No longer the hero or solo leader but the team leader. Not the leader always out in front but the leader who has the capacity to follow. However, this is a two way process and the follower has a big part to play particularly when the leader’s influence may have to be moderated by the ability and motivation of the follower. Both leader and follower have responsibilities and both can become active participants in the leadership process.

### **Team Leadership**

In the late 1970s Meredith Belbin conducted a study of teams focusing on the factors separating successful and unsuccessful teams. Belbin found that the composition of the team was important and that individual differences in style, role and contribution far from underlining personal weaknesses, were a source of potential team strength. Balanced teams comprised of such individuals who engaged in complementary role behaviour performed better than unbalanced teams. Belbin found no ‘ideal’ team member, individual who could perform all of the roles. From this work, Belbin drew the distinction between the “Solo” and the “Team” leader. The increasing complexity and the discontinuous nature of modern work however, poses greater problems where ‘Solo leadership’ is

less appropriate and 'Team leadership' more suited. The key difference between the 'Solo leader' and 'Team leader' revolves around the behaviour and participation of the two as illustrated below (Table 5). Using Team Role theory the word 'shape' indicates to us 'shaper', whilst the word 'vision' implies 'plant'. Looking at leadership using Handy's definition is interesting because vision is certainly important to leadership, but does it have to be unique to an individual?

*A leader shapes and shares a vision which gives point to the work of others'* (Handy, 1992)

Vision alternatively may be "borrowed" by a "Shaper" who treats it as a product of the self and similarly will adopt a solo leadership style. In the rapidly changing and uncertain work environment today no one person has all the answers to leadership. A Team leadership style based upon the development of the strengths and the allowable weaknesses of all of the roles will permit a more holistic, or participative, style of leadership where teamwork, problem solving, decision making and innovation can flourish with heightened teamwork and work performance.

SOLO LEADER	TEAM LEADER
Plays unlimited role – the Solo Leader interferes in everything	Chooses to limit role to preferred team roles – delegates roles to others
Strives for conformity – the Solo Leader tries to mould people to particular standards	Builds on diversity – the Team Leader values differences between people
Collects acolytes – The Solo Leader collects admirers and sycophants	Seeks talent – The Team Leader is not threatened by people with special abilities
Directs Subordinates – subordinates take their leads and cues from the Solo Leader	Develops colleagues – the Team Leader encourages the growth of personal strengths
Projects objectives – the Solo Leader makes it plain what everyone is expected to do. Chooses to limit role to preferred team roles – delegates roles to others	Creates mission – the Team Leader projects the vision which others can act on as they see fit

**Table 5: Solo and Team Leader (Belbin, 1993)**

### TRANSACTIONAL AND TRANSFORMATIONAL THEORY

Burns (1978) distinguished between the two types of leadership. Transactional theory is defined in terms of a contractual or exchange-based relationship between leaders and followers. Transformational leadership, on the other hand is concerned with how a leader adapts to the motives of followers thereby inspiring them to reach their full potential. This charismatic style involves changing and motivating both the leader and follower by creating meaningful connections between both. Table 6 below highlights the differences between both.

#### Transactional Leadership

Transactional leadership has been the traditional model of leadership with its roots from an organisational or business perspective in the 'bottom line'. Stephen Covey writing in 'Principle-Centred Leadership' suggests that transformational leadership "... focuses on the 'top line'" and offers contrast between the two below (Table 6). Both kinds of leadership are necessary. Transactional leadership has remained the organisational model for many people and organisations that have not move into or encouraged the transformational role needed to meet the challenges of our changing times.

#### Transformational Leadership

Leadership theories concerning the relationship between the leader and the group resulted in the emergence of a 'transformational approach'. James MacGregor Burns writing in his book 'Leadership' was the first to put forward the concept of "transforming leadership".

*“Transformational leadership is closer to the prototype of leadership that people have in mind when they describe their ideal leader, and it is more likely to provide a role model with which subordinates want to identify”.*

(Bass, 1994).

Bernard Bass developed Burns’ concept of transforming leadership in ‘Leadership and Performance Beyond Expectations’ into ‘transformational leadership’ where the leader transforms followers – the direction of influence to Bass is thus one-way, unlike Burns’ who sees it as potentially a two-way process. Bass, however, deals with the transformational style of executive leadership that incorporates social change, a facet missing from Burns’ work.

Transactional Leadership	Transformational Leadership
Builds on man’s need to get a job done and make a living.	Builds on a man’s need for meaning.
Is preoccupied with power and position, politics and perks.	Is preoccupied with purposes and values, morals and ethics.
Is mired in daily affairs.	Transcends daily affairs.
Is short-term and hard data orientated.	Is orientated toward long-term goals without compromising human values and principles.
Focuses on tactical issues.	Focuses more on missions and strategies.
Relies on human relations to lubricate human interactions.	Releases human potential – identifying and developing new talent.
Follows and fulfils role expectations by striving to work effectively within current systems.	Designs and redesigns jobs to make them meaningful and challenging.
Supports structures and systems that reinforce the bottom line, maximise efficiency, and guarantee short-term profits.	Aligns internal structures and systems to reinforce overarching values and goals.

**Table 6: Comparison of Transactional and Transformational Leadership**

**DISPERSED LEADERSHIP**

The importance of social relations in the leadership contract, the need for a leader to be accepted by their followers and a realisation that no one individual is the ideal leader in all circumstances have given rise to a new school of leadership thought. Referred to as ‘informal’, ‘organic’, ‘emergent’ or ‘dispersed’ leadership, this approach argues a less formalised model of leadership where the leader’s role is dissociated from the organisational hierarchy. The key to this is a distinction between the notions of “leader” and “leadership”. “Leadership” is regarded as a process of sense-making and direction-giving within a group and the “leader” can only be identified on the basis of his/her relationship with others in the social group.

**EMOTIONAL LEADERSHIP**

Leaders with high emotional maturity are considered more capable of maintaining co-operative relationships with subordinates, peers and superiors than people with low emotional maturity (Yukl, 1998). Some of the components of emotional intelligence include self awareness, understanding ones strengths and weaknesses, and an orientation towards self improvement. These components would underlie inspiring followers, mentoring and the ability to learn from mistakes.

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Mintzberg (1998) posits an understanding of self is essential to effectiveness across the spectrum of challenges presented to a leader and is the baseline for managing oneself and for creating and maintaining the necessary relationships with others. An extension of this view is Goleman (1998), where self awareness is at the heart of emotional intelligence knowing one's internal states, preferences, resources and intuitions and involves accurate self-assessment. In addition, having the ability to know ones strengths and limits, being emotionally aware and self-confident are of central importance.

## **EMERGENT/ NEW LEADERSHIP**

The term new leadership refers to more recent leadership theories. New leadership theory may also be categorised under post heroic and servant leadership theories. It includes approaches to leadership such as level 5 leadership (Jim Collins, 2001), distributed leadership (Gronn, 2002), and leaderless groups (Brafman, 2006).

These approaches underscore inclusive and collective forms of leadership. The proponents refer to 'Servant', 'Moral' and 'Team' leadership, where the role of the leader is taken from a desire to achieve communal goals (Greenleaf, 1970). This leadership approach requires the leader to know when to step back and relinquish control and emphasises the need for the leader to be a good follower. In addition, it highlights the need to have the social capacity to work well with others.

A serious incentive for transactional leaders is to make the transition to more emotion based and follower based paradigms as the future of their very role could be limited. Many aspects of transactional leadership are being automated, with computer systems increasingly supervising and monitoring employee's behaviour in the workplace, assigning work tasks, providing online help and delivering e-learning packages. Even HR functions, so recently devolved to the line manager, are now being centrally automated via online and call systems, taking much of the HR management away from management.

The leader-centric visionary is also limited in the 21st century because a singular vision can be wrong, and followers may become cynical and uncooperative if the vision keeps changing. An alternative form of leadership may stem from the unassuming, non-heroic level 5 leader who shares the credit, does not profile him or herself and yet achieves high levels of organisational performance.

## **LEADERSHIP STYLES**

### **Directing Leadership Style**

The directing style is leader-centred. Leaders using this style don't solicit input from subordinates and give detailed instructions on how, when, and where they want a task performed. They then supervise its execution very closely. The directing style may be appropriate when time is short and leaders don't have a chance to explain things. They may simply give orders: Do this. Go there. Move. In fast-paced operations or in combat, leaders may revert to the directing style, even with experienced subordinates. If the leader has created a climate of trust, subordinates will assume the leader has switched to the directing style because of the circumstances. The directing style is also appropriate when leading inexperienced teams or individuals who are not yet trained to operate on their own. In this kind of situation, the leader will probably remain close to the action to make sure things go smoothly. Some people mistakenly believe the directing style means using abusive or demeaning language or includes threats and intimidation. This is wrong. If you're ever tempted to be abusive, whether because of pressure or stress or what seems like improper behaviour by a subordinate, ask yourself these questions: Would I want to work for someone like me? Would I want my boss to see and hear me treat subordinates this way? Would I want to be treated this way?

### **Participating Leadership Style**

The participating style centres on both the leader and the team. Given a mission, leaders ask subordinates for input, information, and recommendations but make the final decision on what to



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do themselves. This style is especially appropriate for leaders who have time for such consultations or who are dealing with experienced subordinates. The team building approach lies behind the participating leadership style. When subordinates help create a plan, it becomes, at least in part, their plan. This ownership creates a strong incentive to invest the effort necessary to make the plan work. Asking for this kind of input is a sign of a leader's strength and self-confidence. But asking for advice doesn't mean the leader is obliged to follow it; the leader alone is always responsible for the quality of decisions and plans.

### **Delegating Leadership Style**

The delegating style involves giving subordinates the authority to solve problems and make decisions without clearing them through the leader. Leaders with mature and experienced subordinates or who want to create a learning experience for subordinates often need only to give them authority to make decisions, the necessary resources, and a clear understanding of the mission's purpose. As always, the leader is ultimately responsible for what does or does not happen but in the delegating leadership style, the leader holds subordinate leaders accountable for their actions. This is the style most often used by officers dealing with senior NCOs and by organisational and strategic leaders.

### **Transformational and Transactional Leadership Style**

*A man does not have himself killed for a few halfpence a day or for a petty distinction. You must speak to the soul in order to electrify the man. (Napoleon)*

These words of Napoleon capture the distinction between the transformational leadership style, which focuses on inspiration and change, and the transactional leadership style, which focuses on rewards and punishments. Of course Napoleon understood the importance of rewards and punishments. Nonetheless, he also understood that carrots and sticks alone don't inspire individuals to excellence.

**Transformational Leadership Style:** As the name suggests, the transformational style "transforms" subordinates by challenging them to rise above their immediate needs and self-interests. The transformational style is developmental: it emphasises individual growth (both professional and personal) and organisational enhancement. Key features of the transformational style include empowering and mentally stimulating subordinates: you consider and motivate them first as individuals and then as a group. To use the transformational style, you must have the courage to communicate your intent and then step back and let your subordinates work. You must so be aware that immediate benefits are often delayed until the mission is accomplished. Leaders who use this style communicate reasons for their decisions or actions and, in the process, build in subordinates a broader understanding and ability to exercise initiative and operate effectively.

**Transactional Leadership Style:** In contrast, some leaders employ only the transactional leadership style. This style includes such techniques as:-

- Motivating subordinates to work by offering rewards or threatening punishment
- Prescribing task assignments in writing
- Outlining all the conditions of task completion, the applicable rules and regulations, the benefits of success, and the consequences – to include possible disciplinary actions – of failure.

'Management-by-exception', where leaders focus on their subordinates' failures, showing up only when something goes wrong. The leader, who relies exclusively on the transactional style, rather than combining it with the transformational style, evokes only short-term commitment from subordinates and discourages risk taking and innovation. There are situations where the transactional style is acceptable, if not preferred. For example, a leader who wants to emphasise safety could reward the team or unit with a three-day pass if the organisation prevents any serious safety-related incidents over a two-month deployment. In this case, the leader's intent appears clear: unsafe acts are not

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tolerated and safe habits are rewarded. However, using only the transactional style can make the leader's efforts appear self-serving. In this example, soldiers might interpret the leader's attempt to reward safe practices as an effort to look good - by focusing on something that is unimportant but that has the boss's attention. Such perceptions can reduce the trust subordinates have in the leader. Using the transactional style alone can also deprive subordinates of opportunities to grow, because it leaves no room for honest mistakes.

The most effective leaders combine techniques from the transformational and transactional leadership styles to fit the situation. A strong base of transactional understanding supplemented by charisma, inspiration and individualised concern for each subordinate, produces the most enthusiastic and genuine response. Subordinates will be more committed, creative and innovative. They will also be more likely to take calculated risks to accomplish their mission.

### **Conclusion**

The overview on theory in this annex is a very small sample of the evolution and development of leadership throughout the last 70 years. It is simply a guide to provide a base understanding of the general theory on leadership which can be further explored as required. There is neither singular explanation nor one all answering theory on perfect leadership. In fact, the complex dynamics of the 21st century environment require leaders to be flexible, situationally aware and understanding of the systems and people they work and interact with. There is an inherent responsibility on all leaders to honestly reflect on and impart knowledge gained by experience and education, to ensure effective leadership for the future.

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## ANNEX B

### AIDE MEMOIRE – CONSIDERATIONS FOR OVERSEAS DEPLOYMENT

The leadership throughout all levels of Overseas Unit must set the right “tone.” Leaders must display the highest standard, setting an example of competence and professionalism that will inspire subordinates. Leaders must be technically and tactically aware, be decisive and create an atmosphere of excellence, which will inspire comrades to execute the Mission to the highest possible standards.

AIDE MEMOIRE	
At Home	On Deployment
<p><b>Raising and Concentration:</b> Proactively engage with Bde Commander, COMO and EPMO at earliest opportunity to realise the full requirements of competencies and skills within the unit. Key appointment holders within the unit at all levels of leadership must be carefully considered.</p>	<p><b>Challenges:</b> Climatic Conditions; Trafficability; Security Environment; Ensure personnel are Situationally Aware at all times; Managing troops expectations; Maintenance of Standards throughout; Keeping all personnel focused for the full duration. Loss of Key Pers to repatriation, etc.</p>
<p><b>Timings:</b> Establish Dates for Recce; Unit briefings in UNTSI;</p>	<p><b>Develop:</b> Relationships with other Contingents - particularly higher HQ. Relationship with SIO and with all other Stakeholders.</p>
<p><b>Communications:</b> Establish Liaison with Overseas Commander, DFHQ, J1 and J4. Determine current guiding policies in particular regarding HR. Communicate with your team and unit. Outline current policies and your guidance. UNTSI week is a recommended starting point for this action. Articulate your policies during UNTSI Week on leadership, personal standards, leave, recreation, interpersonal relationships, etc.</p>	<p><b>Communications:</b> Maintain Comms with DFHQ and reporting mechanisms. Establish relationship with Key Players - Coy Comds /Ops Officer. Understanding that all visitors to the Unit represent an opportunity and that such visits should not be viewed as a problem.</p>
<p><b>Logistics and Support:</b> Establish Logs deficiencies and arrange for replenishment;</p>	<p><b>Leadership:</b> Utilisation of Mission Command! (Necessary prior to Departure)</p>
<p><b>Welfare:</b> Be prepared by planning activities and equipment in advance;</p>	<p><b>Welfare:</b> Continuous focus on health and safety standards. Continually assessing welfare of subordinates.</p>
<p><b>Skills:</b> Demand and expect that the skill sets required in certain appointments are held. e.g. CIMIC officer is qualified in CIMIC.</p>	<p><b>Personnel:</b> Be prepared for Repats/Hospital Admissions/Disciplinary Action, etc</p>
<p><b>Training:</b> Ensure Unit Training complete prior to concentration. Instil the highest standard on all tasks from training to administration. Ensure realistic MREs and LFTTs; Confirm CISM facilitators trained.</p>	<p><b>Training:</b> Maintain the levels of rehearsal and response according to the operational need and lessons learned.</p>

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## ANNEX C

### THE LEADERSHIP PRINCIPLES OF LT GEN D. EARLEY DSM

1	Leaders do the right thing. Managers do things right.
2	Leaders must be visible - must be seen to be serving with the people they lead.
3	Leaders need to encourage and support - say THANKS more often.
4	Leaders need to have an aura of control, yet be calm and confident.
5	Leaders need to create a dream - a vision - and communicate same really well.
6	Leaders need to know themselves - be self-aware - they need to practice what they preach and never bluff.
7	Leaders need to have external awareness - and should be able to express: the joy of success, the pain of failure, and concern at slow progress. In these honest expressions leaders should empathise with people and all such expressions should be in a calm and controlled manner.
8	Integrity is key for leaders. Keep your promises and earn respect and then keep it.
9	Your attitude is more important than your ability.
10	Your motives are more important than your methods.
11	Your courage is more important than your cleverness.
12	Have your heart in the right place.
13	Example - set the standard and set it high. Lead your life and work your work.
14	Team effort is the key for greater success. Mistakes happen. Get over them, but learn from them always.
15	Communications is vital - listen and ask questions.
16	If you want to know what a person on your team is really like - then give them a bit of authority!
17	Always be fair, firm yet friendly - the 3 F's.
18	People are really able for lots of change and will withstand anything if everyone gets fair treatment.
19	As a new leader you now have weight; pull your weight; do not throw it around!
20	A piece of equipment may cost millions and we pay so much attention to its care and maintenance; do we always do the same for a human being; what value do we put on humans beings?
21	Finally, if you are not the leader but a team member, you need the courage to do the right thing. Do you as a team member have the courage to: Take responsibility given to you; Contribute to the team; Challenge the direction; Accept the team direction; Participate in the speed of life; Take moral actions.

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## ENDNOTES

- <sup>1</sup> Department of Defence and Defence Forces Strategy Statement 2015-2017
- <sup>2</sup> Defence Forces Transformational Agenda 2014-2018
- <sup>3</sup> Adjective used to describe activities, operations and organisations, in which elements of at least two services participate. NATO AAP-6, *Glossary of Terms and Definitions* (2006)
- <sup>4</sup> Adjective used to described activities, operations and organisations, in which elements of more than one nations participate. NATO AAP-6, *Glossary of Terms and Definitions* (2006)
- <sup>5</sup> White Paper on Defence 2015 Chapter 3
- <sup>6</sup> Ibid, Chapter 1.
- <sup>7</sup> Department of Defence and Defence Forces Strategy Statement 2015-2017
- <sup>8</sup> White Paper on Defence 2015, Chapter 2.
- <sup>9</sup> Ibid, Chapter 2.
- <sup>10</sup> Ibid, Chapter 2
- <sup>11</sup> Ibid, Chapter 1
- <sup>12</sup> Defence Forces Capstone Doctrine, - Pre-Publication
- <sup>13</sup> White Paper on Defence 2015, Chapter 2.
- <sup>14</sup> Tapscott and Williams: 2010: 370.
- <sup>15</sup> Gole, H. G. (Autumn 1999), *Leadership in Literature*. Parameters, U.S. Military College.
- <sup>16</sup> Defence Forces Order 01/2015 page 3.
- <sup>17</sup> Smith, T. (2007), *Integrating Undergraduate Peer Mentors into Liberal Arts Courses: A Pilot Study*. *Innovations in Higher Education*, 33, 49–63.
- <sup>18</sup> Parsloe and Wray, (2009), *Coaching and Mentoring*, Kogan, London, UK
- <sup>19</sup> Defence Forces Doctrinal Manual DFDM-L1, Chapter 8. Para 801.
- <sup>20</sup> Allied Command COPD Interim V2.0, 04 Oct 2013. 'Interim Version' is applied due to the substantial on-going change.
- <sup>21</sup> Training Manual 204, Chapter 2, Para 2.11
- <sup>22</sup> Defence Forces Capstone Doctrine – Pre-publication Chapter 3 para 311-312.
- <sup>23</sup> Ibid Chapter 8, para 804.
- <sup>24</sup> Defence Leadership Centre as quoted in '*Leadership in Defence*' November 2010, Chapter 1 Page 6.
- <sup>25</sup> Defence Forces Capstone Doctrine – Pre-publication Chapter 8, Para 808.
- <sup>26</sup> ADRP 6-22 *Army Leadership*, Dept of the Army, Washington DC, 10 September 2012

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- <sup>27</sup> Ibid
- <sup>28</sup> Ibid
- <sup>29</sup> Collins Concise Dictionary, 21st Century Edition, Fifth Edition 2001
- <sup>30</sup> Goleman, D. (1996) *Emotional Intelligence: Why it can matter more than IQ*. Bloomsbury Publishing PLC, London.
- <sup>31</sup> ADRP 6-22 *Army Leadership*, Dept of the Army, Washington DC, 10 September 2012
- <sup>32</sup> Military Codes of Practice For Instructors and Students in the Training Environment, TI 07/2014 (Amendment No 1, 2015)
- <sup>33</sup> White Paper on Defence 7.3.2
- <sup>34</sup> ADRP 6-22 *Army Leadership*, Dept of the Army, Washington DC, 10 September 2012
- <sup>35</sup> Ibid
- <sup>36</sup> Ibid
- <sup>37</sup> Ibid
- <sup>38</sup> Adapted from the personal evaluation of lessons learned by General Anthony Zinni USMC Retd (2000).
- <sup>39</sup> Howard, M and Paret, P (eds) (1993) *Carl von Clausewitz: On War*, New York, Everyman's Library Knopf.
- <sup>40</sup> ADRP 6-22 *Army Leadership*, Dept of the Army, Washington DC, 10 September 2012
- <sup>41</sup> Strategic Leadership Primer 2nd Ed, Dept of Command, Leadership and Management, US Army War College, Chapter 3.
- <sup>42</sup> Defence Forces Capstone Doctrine, - Pre-Publication
- <sup>43</sup> Fincham and Rhodes, Principles of Organisational Behaviour – 4th ed, Chapter 8, 313:314
- <sup>44</sup> ADDP 00.6 *Leadership in the Australian Defence Forces*, Australia, 22 March 2007
- <sup>45</sup> Moskos, C. (1999) *The Postmodern Military*, Oxford University Press, 1st Ed, Oxford, UK.
- <sup>46</sup> Loughlin, C., and Arnold, K. (2007) *Seeking the Best: Leadership Lessons from the Military*. HRM DOI: 10.1002/hrm
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- <sup>48</sup> Defence Forces Transformation Agenda 2014-2018 – The Transformation Imperative
- <sup>49</sup> Anton, S. 'Conceptual Insights of Strategic Shock and Strategic Surprise', available on [www.ceeol.com/aspx/getdocument.aspx?logid=5&id=989452d5...](http://www.ceeol.com/aspx/getdocument.aspx?logid=5&id=989452d5...)
- <sup>50</sup> Yukl, G (2010) *Leadership in Organisations*, (7th Edn), New Jersey; Pearson educational inc., p235.
- <sup>51</sup> ADDP 00.6 *Leadership in the Australian Defence Forces*, Australia, 22 March 2007

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- <sup>52</sup> Schein E.H. (1985) *Organizational Culture and Leadership: A Dynamic View*, Jossey-Bass, San Francisco, CA. USA.
- <sup>53</sup> ADDP 00.6 *Leadership in the Australian Defence Forces*, Australia, 22 March 2007
- <sup>54</sup> Janis, I (1982) '*Groupthink*' 2nd Edn. Boston, Houghton Mifflin., 'The Ultimate Cost of Poor Decision Making is the Loss of Human Life' pp 63-72
- <sup>55</sup> Longstaff, 2006, cited in ADDP, 00.6, *Leadership in the Australian Defence Forces*, 2015.
- <sup>56</sup> ADDP 00.6 *Leadership in the Australian Defence Forces*, Australia, 22 March 2007
- <sup>57</sup> Loughlin, C., and Arnold, K. (2007) *Seeking the Best: Leadership Lessons from the Military*. p:148.
- <sup>58</sup> Defence Forces Information Guide on Mental Health and Well Being in the Defence Forces.
- <sup>59</sup> Goleman, D. (2013), *FOCUS*, Bloomsbury Publishing PLC, London, UK.



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